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ABSTRACT

This report documents the results of a survey on the current use and management of approval plans, and compares them with similar studies published in SPEC kits in 1982 and 1988. Overall, Association of Research Libraries (ARL) institutions still consider approval plans to be efficient and cost effective. Survey results include: (1) the percentage of respondents using approval plans has remained stable, with 85% in 1982, 94% in 1988, and 93% in 1996; (2) more than half of respondents committed a greater percentage of their library materials budget to approval purchases in 1996 than in 1988; (3) there was a 77% increase in approval plan spending per institution between 1988 and 1996; and (4) approval plans continue to be used primarily for acquiring traditional print materials, although 30% report using the approval concept to acquire non-print media. Observations made in the 1982, 1988, and 1996 surveys show that the use of the approval method continues to be very diverse in ARL institutions. The effectiveness of approval plans depends on the care and attention they are given by both the library and the vendor. The document includes a list of participating institutions, and approval plan documentation from the University of Kentucky, University of Nebraska-Lincoln, State University of New York at Stony Brook, Temple University (AZ), University of Texas at Austin, and University of Toronto (Canada). A selected reading list is also provided. (Contains 26 references.) (SWC)

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SYSTEMS AND PROCEDURES EXCHANGE CENTER

Kit 221

Evolution & Status of Approval Plans
May 1997

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SYSTEMS AND PROCEDURES EXCHANGE CENTER

Flyer 221

Evolution & Status of Approval Plans
May 1997

Introduction

The use of approval plans, as an acquisition and collection management tool to acquire current imprints, exploded in the 1960s when college campuses and their libraries were rapidly growing. This study examines the use and management of these plans in today's ARL libraries and compares the resulting data to similar studies that were published as SPEC Kits in 1982 and 1988. In general, this study supports the belief that ARL libraries still consider approval plans to be efficient and cost effective. Stability is reflected in the percentage of respondents using approval plans—85% in 1982, 94% in 1988, and 93% in 1996.

Commitment to Plan Usage

One focus of this study was to determine if the use of approval plans for foreign or specialized material has decreased as a result of the stringent economic climate that began in the 1980s. The answer seems to be a negative one. In 1996, 55% of responding libraries report higher spending for foreign plans; 640 of the total 847 plans (76%) were for foreign material. The 378 plans for specialized formats and subjects outnumber the 319 general plans (publisher, university press, and multi-subject plans). Spending for domestic plans is also higher. Whereas a total of $25.8 million was spent in 1988 on all types of approval plans, libraries report spending $39.58 million U.S. dollars in 1996. A little more than half of the respondents report committing a greater percentage of their library materials budget to approval purchases than in 1988.

In 1996, respondents reporting in U.S. Dollars spent at least $100,000 per institution. In the 1988 survey, 7% reported spending $50,000 or under, with the upper limit being $1,000,000; in comparison, 10% report spending more than $1,000,000 on approval plans in 1996. Whereas in the 1988 study 62% of the reporting libraries spent $300,000 or less on approval plans, that figure rose to $550,000 for 64% of responding libraries in 1996. Eighty-one respondents spent an average of $310,000 in 1988 on their approval plans. That figure grew to $565,000 for the 70 respondents with plans in the 1996 survey—a 77% increase in spending per institution. Except for one Canadian library which has a large expenditure on approval, Canadian libraries do not seem to employ the approval method as much as their U.S. counterparts.

Approval plans continue to be supported by ARL institutions in spite of financial pressures caused by increased serial prices, the higher cost of titles received on their plans, and diminished staff. Fluctuations in the value of the U.S. dollar is much less of a concern today than it was in 1988. The most often cited coping mechanisms for dealing with financial changes are narrowing the profiles; negotiating better terms; switching to notification of new titles instead of the shipment of materials; and profile review. The comments indicate that many libraries tried to protect their approval plans in the face of funding shortfalls and, in fact, used these plans to make their dollars go further.

About half (51%) of the libraries began their plans between 1965 and 1975; one library has been using the approval concept for over 100 years. Approval plans continue to be used primarily for acquiring traditional print materials, although 30% report using the approval concept as a way of acquiring non-print media. The traditional concerns of faster receipt of materials and broader coverage initially led libraries to approval plans. Other frequently cited reasons for adopting approval as a means of acquiring current imprints include price discounts; staff savings in processing; improved collection development; and increased book budgets. Most libraries began their plans before many value-added vendor services were developed; thus, vendor services were not a significant factor in the initial decision to try the approval method for these libraries.

Advantages & Disadvantages

In the 1988 survey, the overwhelming benefit of approval plans was thought to be the timely receipt of current imprints. The perceived benefits offered by today's plans are much more diverse: the freeing of selectors to focus on the elusive, while relying on approval to collect material from mainstream publishers; greater price discounts; staff time savings; review with book-in-hand; timely receipt of current imprints; and consolidated ordering. The major disadvantage cited in

1988 was the tendency to accept marginal material. This is also a concern expressed in the 1996 survey, but it is joined by other concerns such as coverage of small presses (including institutes and societies), insufficient profiling, and time-consuming follow up and review of coverage.

Administration

The Head of Collection Development plays a major role in the administration of the plans and in the review of new titles to ensure that receipts meet collection development objectives. The person in this position is joined by the Head of Acquisitions, selectors/collection development staff and acquisitions/technical services staff in the group responsible for the administration of the plan. When compared to responses to this question in 1982, the observation could be made that collection development personnel are much more involved in the administration of plans today than they were in 1982.

In 1982, the Head of Collection Development was responsible for plan administration in only 17% of responding libraries; that same year, this position reviewed titles in 9% of libraries. By 1988, these numbers jumped to 65% for administration and 48% for title review. Despite fewer responding libraries, the latest survey indicates the figure for administration has further increased to 71% while title review remains almost unchanged at 47%.

Selectors also are much more active in plan administration than they were in 1982 when only 28% of libraries reported selectors participating in approval plan administration. By 1988, 67% reported active selector participation in plan administration, and that number grew to 79% by 1996. Faculty, however, continues to play a relatively minor role. In 1982, only 4% used faculty for review. By 1988, that number grew to 27%, but in 1996, only 21% report that the teaching faculty is responsible for title review.

Good management of approval plans requires a diversity of statistics. ARL libraries seem to be keeping a variety of statistics on the operation of their plans. Some of these statistics are generated by the vendors and some are generated by the libraries themselves. A sample of a spreadsheet program developed at one institution can be found in the accompanying SPEC Kit.

Technology

The marketing of approval plans generally includes a heavy emphasis on enhanced technology to heighten the plans' effectiveness. Except for interactive access to databases and the use of vendor-supplied records, however, a relatively small number of libraries make use of these enhancements. The comments indicate that several libraries are presently considering one or more value-added vendor services to their plans; so, the use of technology could become more widespread in the next few years. This was not what was expected in 1988 when it was concluded that the greatest changes in the plans would be driven by automation. Both the 1982 and 1988 surveys predicted online review and authorization—a development that has yet to be widely implemented. As libraries adopt integrated systems that are Z39.50 compliant and support EDI transmission of data, the link between vendor and library will become more transparent and will support more technological developments.

Evaluation

Ninety percent of the libraries that currently have plans have discontinued a plan at some time in the past. The overwhelming reason is because the vendor was unsatisfactory. The comments also indicate that vendors discontinued the approval service or went out of business. ARL libraries must continue to evaluate their approval services; no agreement with a vendor should be expected to continue without considerable effort on the part of both vendor and library.

Only two of three responding libraries without plans reported consideration of approval plans at some time in the past. Three of the five libraries that did not use approval in 1996 have discontinued a plan at some time in the past. Because the samples in both cases are so small, it is difficult to reach any definitive conclusion.

Conclusion

The effectiveness of approval plans depends, in large part, on the care and attention they are given by both the library and the vendor. What can be concluded from the response to the 1996 survey is that the use of the approval method continues to be very diverse in ARL institutions. That observation was also made in the 1982 and 1988 surveys. As the library and vendor work in partnership, approval plans will be tailored to match each library setting. Approval plans will continue to evolve as vendors and libraries work together.

This Flyer and Kit were prepared by Susan Flood, Approval Plan Librarian, Auburn University Libraries and were prepared as part of the OMS Collaborative Research/Writing Program.

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SYSTEMS AND PROCEDURES EXCHANGE CENTER

Evolution & Status of Approval Plans

A SPEC Kit compiled by

Susan Flood
Auburn University

May 1997

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SYSTEMS AND PROCEDURES EXCHANGE CENTER

Kit 221

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SURVEY RESULTS

ASSOCIATION OF RESEARCH LIBRARIES
OFFICE OF MANAGEMENT SERVICES

TO: SPEC Liaisons

FROM: Susan Flood, Approval Plan Librarian, Auburn University
Laura Rounds, OMS Program Officer for Information Services

RE: Update of 1982 and 1988 SPEC Kit on Approval Plans

DATE: October 9, 1996

In 1982 and again in 1988 SPEC Kits were published based on the response of ARL members to surveys covering the use of approval plans in ARL institutions. The purpose of this survey is to document any changes in the management and use of approval plans and to measure any long term trends. Responses will be analyzed to determine whether or not the approval plan continues to be a valid management tool for the acquisition of library materials.

The enclosed survey includes questions about:

- The kinds of plans that are used in ARL libraries
- The financial support for approval plans
- How approval plans are managed
- How librarians view their usefulness

Survey responses and documentation should be received no later than November 8, 1996. Return surveys to:

Susan Flood, Approval Plan Librarian
Auburn University Libraries
Auburn University, AL 36849
Phone: (334) 844-1709
Fax: (334) 844-4424
Email: floodsu@lib.auburn.edu

Comments, suggestions, or questions regarding this questionnaire should also be directed to Susan.

21 Dupont Circle, Washington, D.C. 20036
202 296 8656 FAX 202 872 0884

SPEC Survey: Approval Plans

For this survey, an approval plan is defined as an arrangement with a vendor or publisher to send library materials automatically on the basis of broad predefined instructions or profile. Titles that are not considered appropriate may be returned.

1. Does your library currently use approval plans?

70	93%	Yes; go to Question #2
5	7%	No; skip to Question #A

2. How many plans does the library maintain in each of the following categories? Include plans for printed library materials shipped automatically and plans that provide for notification only.

12	17%	Libraries with only domestic plans
1	1%	Libraries with only foreign plans
52	74%	Libraries with plans with both foreign and domestic plans

5 libraries with plans reported no domestic or foreign plan

Summary of types of plans

207	24%	Total domestic plans for materials
640	76%	Total foreign plans for materials
38	5%	Total university press plans for materials
251	36%	Total general plans for materials
270	39%	Total special subject plans for materials
30	4%	Total publisher plans for materials
108	15%	Total special format plans for materials

Range of domestic and foreign plans reported for a single library

	Domestic Plans	Foreign Plans
Minimum number	1	1
Maximum number	16	161

Total number of plans reported by a single library

Range	1-161
Mean	14
Median	6
Mode	2

Some libraries did not report separate statistics for foreign and domestic plans and/or separate statistics for plans for notification only; therefore, separate charts for these statistics were not possible. Percentages calculated based on 847 total plans.

Other types of plans:

5 Latin American blanket order plans
Special language, i.e. Polish emigre literature (published outside of Poland)
Country of origin/subject
15 other plans for Latin American Collection or other area studies
LC South Asia/Middle East
Authors plan—notification only
World Bank publications

Comments:

- Our plans are country based, since country of origin provides the most comprehensive coverage at the lowest price.
- Our Asia Library does not use approval plans for a number of reasons, including the lack of well-established qualified selective suppliers, the small percentage of in-take (in relation to the 150,000-200,000 published each year), the high cost of returning.
- The number (68) listed under foreign plans represents the total of both foreign and domestic.
- Domestic plan # is for US publications and Foreign for non-US (Canadian Library).
- Special subject includes Law approval plans.

3. Approximately how much will the library spend with approval plans this year? Include only expenditures for library materials shipped automatically, not for orders generated by a vendor's current awareness/new titles notification service.

Reported in Canadian dollars

$106,255	Total domestic amount spent
$2,156,052	Total foreign amount spent
$2,262,307	Total

Reported in US dollars

$27,927,130	Total domestic amount spent
$9,957,900	Total foreign amount spent
$37,885,030	Total

Expenditure range distribution for libraries reporting in US dollars

Range	$125,000-$2,541,800
Mean Range	$600,001-$650,000
Median Range	$450,001-$500,000
Mode Range	$250,001-$300,000 and $450,001-$500,000

Expenditure range distribution for libraries reporting in Canadian dollars

Range	$5,200-$724,461
Mean Range	$200,001-$250,000
Median Range	$50,001-$100,000 and $150,001-$200,000
Mode Range	$0-$50,000

4. How does this amount compare to 1988 expenditures for the automatic shipment of library materials on approval?

	Higher	Lower	Same
Domestic	57	9	2
Foreign	33	21	6

5. How does the percentage of the library materials budget devoted to approval plan expenditures compare with the percentage of approval plan expenditures in 1988?

41 Greater
3 Same
24 Smaller

6. In many libraries financial changes have caused the library to reevaluate its use or management of approval plans. Why has the library reevaluated its approval plans since 1988? Indicate all that apply.

4 No reason
34 Increased cost of serials
17 Increased cost of electronic resources
31 Higher costs
15 Increase in titles received
12 Materials budget decrease
15 Fluctuations in dollar
10 Materials budget increase
28 Diminished staff
6 Approval funds moved to support faculty requests

Other:

- Investigating alternative methods of profiling and structuring of approval plans.
- Fluctuations in the value of the $ applies to our approval plan with Harrassowitz.
- Acquisitions budget stabilized.
- Consolidation of plans to improve workflows.
- Domestic plan was added to increase efficiency in the selection process and increase the discount.
- Evaluation of coverage led to a change of vendors for domestic plan.
- The increases in serial expenditures and our plans to integrate electronic resources into our general collections have put a lot of tension on some of our traditional collection plans, such as approval plans.
- Libraries have increased the amount spent on approval plans based on the quality of materials received from our current vendor and the staff and librarian efficiencies realized through the use of the plans.
- Fluctuations in materials budget.
- New specialized plans adopted to streamline selection and acquisitions. We find a need to acquire more specialized material effectively and efficiently and there are more plans to meet this need. We also would like to employ automated services.
- Increases in our materials budget have not kept up with inflation.
- Flat budget since 1995.
- Former approval vendor sold the business to another vendor. Dissatisfaction with vendor service. Opportunity to increase discount.
- Dissatisfaction with previous vendor.
- Change in management.

- Decrease in buying power of the materials budget.
- Approval plans have been supported as a high priority for monographic acquisitions even with increased serial expenditures.
- 1) Major problem with how the plan works for one of our subjects; 2) Poor vendor performance; 3) To decrease returns, profile was altered.
- Profiles are revised as curriculum/research requirements and financial conditions shift and change. This varies from country to country and from one broad subject area to another.
- Budget hasn't kept pace with inflation.

Comments:

- We have had to become more thoughtful about the titles we select and the profiles we establish. Particularly hard-hit has been our European acquisitions via approval plans/blanket orders.
- Except for one small plan, we ended our science approval plan in 1995 because with limited dollars available, we could not maintain comprehensive coverage.
- The primary reason has been the need to re-assign static staff resources to meet other priorities, e.g., user education and electronic initiatives.
- None of the above mentioned reasons has changed our commitment to the approval plans.
- Although we have changed vendors or changed specifications within an approval plan, the use of approval plans within Acquisitions has not been questioned. Approval plans are the most efficient and cost-effective method of building a core collection.
- Several special format and subject plans have been added since 1988 to acquire foreign and ephemeral domestic titles. This saves collection development resources.
- LC has maintained its approval plans and has expanded their scope and reliance on dealer selections to cope with reduced staffing. Approval plans ensure timely selection of essential publications while facing static budgets.
- Date of review was January 1995 which precipitated a change in domestic vendor.

7. Many libraries have attempted to curtail approval plan costs. What changes have been made to contain costs? Indicate all that apply.

11	No change
9	Lower price limits
32	Switch to notification
41	Narrow profiles
14	Increase returns
8	Lower expenditure ceilings
15	Eliminate duplicate copies
33	Negotiate better terms
22	Change vendors
24	Switch to paper
4	Charge to dept accounts
11	Use deposit accounts
28	Review profiles
19	Canceled foreign plans
18	Mid-year suspension of plans

Other:

- We meet regularly with the vendor to continuously fine-tune and improve the quality of the profiles. We use many of the strategies listed above, but on selected areas of the profiles as determined to be appropriate.

- We have modified profiles from more general to focused subjects, changed price limits, eliminated subsequent editions/numbered series, monitored profiles, canceled plans if allocation exceeded, and split coverage into approvals/selection under different vendors. In no instance has the amount allocated been reduced; we have tried to make our coverage as broad as possible. This year we are using BNA/BHB's Preferred Edition for our US/UK approval plan.
- 1) Switched country of origin; 2) Use forms for some of more expensive, marginal publishers.
- Closer scrutiny of this material to make sure it fits with the collection development policies.
- Consolidation of domestic trade and university press plans.

Comments:

- Only one copy is requested on approval.
- Limited foreign plans by removing publishers known for price gouging and co-publishing in the US market; shifted to domestic editions for prudent budget management.
- We have expanded the number of slips requested in some subject areas but we have not changed to all-notification for any of our plans.

8. Does your library use its approval plans as a management tool to deal with financial changes?

27	39%	Yes
43	61%	No

Comments:

- Some plans are partially subsidized by endowments, thus freeing allocations.
- Reduced allocations for print resources to pay for electronic resources
- We plan ahead; we do not use approval plans to deal with financial change.
- We evaluate every year in light of available funds.
- Helps forecast monograph expenditures by subject throughout the year.
- Plans are used to determine production and cost of books. We depend on plan to acquire core monographs and spend funds regularly through the year.
- Since we have not reduced the number of approval plans, we do not interpret our changes as indicative of the idea expressed in #8.
- In times of larger budgets, plans are expanded to expend more funds; in times of high serials inflation or budget cutbacks, plans are narrowed or suspended.
- Because of the tremendous value in a strong approval program, we have dealt with financial changes in other areas—mostly in serials budget.
- This is something that we need to do more with, but also vendor could provide reports in more usable form.
- We allocate funds to various plans as the budget permits.
- Have suspended or canceled due to budget shortfall.
- If publishing output increases or decreases or if selection increases or decreases, budgets are reallocated.
- Use of deposits, change of vendors.
- All parts of the materials budget are managed. Approval and serials are generally protected.
- We monitor annual increases in the overall costs of all plans and in the average cost per title per plan.
- If necessary, but basically we try to protect the approval plan from financial change.
- We adjust the approval plan as necessary to accommodate changes in the budget.
- We use for annual budget forecasting.
- Increased use of approval plans to deal with diminished staff resources.

- When money is tight and greater selectivity must be used in buying books, approval plans can become too complicated by restrictions to be effective. On the other hand, we do not have enough librarian-selectors to use approval plans to cut staff time.
- Have not had to cut back but are prepared to do so. Presently use plans as assistance to sparse staff and to provide even, basic coverage.
- To gain buying power by getting a higher discount on monographs.
- Using now as part of downsizing of Tech. Services.
- Management of financial changes must go with management of shifting curriculum and research. Approval plans play a key role in collection development of titles from North America, Latin America, Europe and increasingly from Asia. It is cost effective.
- Such a small amount of the total acquisitions budget.
- Major plans were cut to compensate for rising subscription costs and increased expenditures for electronic databases.
- Approval plans make it easier to project monographic expenditures.

9. Do you use the approval plan concept to acquire materials other than books?

21 Non-print
0 Document delivery
0 Databases
Other:
- Music cassettes included in several foreign plans
- Depository plan for government documents
- Music CDs

10. In what year did you begin your first approval plan?

1895 Earliest date of 1st approval plan
1996 Latest date of 1st approval plan
1971 Average beginning date

11. From the following listing, indicate the five major reasons for originally instituting approval plans. Choose the 5 most applicable reasons for your library and rank order them with 1=most important.

Reason	1	2	3	4	5
Staff savings in selection	2	1	1	8	2
Staff savings in processing	1	1	7	8	8
Broader coverage	7	6	1	9	5
Improved collection dev.	1	1	9	5	3
Increased book budget	6	2	1	2	3
Faster receipt	7	1	9	11	1
Discount	2	2	7	8	1
Library control of budget	3	2	0	1	1
Outside expertise for foreign	0	2	3	5	4
Easier processing of returns	0	0	2	2	2
Better management of funds	3	0	1	3	6
Vendor services	1	1	3	0	2

Comments:

- Our original plans were established in the 60s—long before shelf ready services.
- The reasons for establishing plans in 1968 are not the same as the reasons for continuing them now.
- I would amplify the outside expertise for foreign titles by stating that their use for foreign languages/area studies has insured that the other reasons were more uniformly applied in collection development. Sometimes this has also made processing easier because of the bibliographic data supplied by the vendor. The discount is a significant factor for our US/UK plans.
- Library director ordered us to do this.
- The most interesting effort of late has been the development of a specialized American fiction plan where vendor makes qualitative choices, but vendor bibliographer maintains informal and ongoing communication with Library selector.

12. From the following listing, indicate the five major benefits the library has identified for using approval plans. Choose the 5 most applicable benefits for your library and rank order them with 1=most important.

Benefit	1	2	3	4	5
Consolidated ordering	6	6	4	3	2
Protection against turnover	1	1	4	1	1
Facilitate returns	0	0	0	2	1
Workload even throughout year	1	4	2	5	5
Facilitate special collecting	2	1	2	1	1
Current imprints quickly	2	5	10	5	5
General coverage	2	0	3	1	0
Acquire books before OP	2	1	1	2	5
Coverage where weak	1	4	1	3	3
Vendor expertise	1	4	3	2	5
Effective faculty role	0	1	0	0	1
Vendor management reports	1	0	2	2	4
Notification of new titles	2	5	8	4	1
Selectors focus on elusive	7	9	4	4	5
Cheaper processing	4	4	1	3	3
Vendor-supplied processing	0	0	2	4	1
Better financial management	2	1	0	1	3
Greater discount	6	8	6	6	2
Staff time savings	1	11	9	6	5
Review with book in hand	4	6	7	9	3

Comments:

- Reduced number of firm orders placed.
- Approval plans assist bibliographers with time management. Titles are reviewed weekly and then processed.
- Most efficient and cost effective way to obtain current imprints from main stream publishers.

13. From the following listing, indicate the five major disadvantages the library has identified in using approval plans. Choose the 5 most applicable disadvantages for your library and rank order them with 1=most important.

Disadvantage	1	2	3	4	5
Receive excessive duplicates	1	1	6	1	0
Profiling insufficient	10	6	3	8	3
Return rates too high	2	6	4	1	1
No advance info on titles	4	2	1	4	3
Marginal material	9	6	3	7	4
Time-consuming follow-up	7	7	5	2	4
Incomplete expenditure control	4	2	4	1	2
Check usual selection sources	5	5	7	2	2
Coverage of small presses	9	8	6	5	2
Vendor will not conform	0	1	2	1	1
Vendor is inaccurate	2	0	0	0	2
Excessive overlap	1	2	4	2	1
Time to keep returns low	0	2	0	3	0
New titles are late	5	2	3	7	4
Patron requests held	3	4	7	1	4
Selectors are overdependent	3	3	3	1	4
Vendor's business is selling	0	2	1	2	3

Comments:

- Science staff felt they were forced to take material to spend budgeted amount on monographs,thus preventing them from purchasing other material that would not come on approval.
- Not all foreign vendors are able to provide expert selection and tight financial control, although exchange rates and postage are beyond their control. The advent of e-mail and the speed with which foreign language records are entered into OCLC/RLIN are ameliorating some of these difficulties.
- Resistance of some bibliographers to approval plans. Overhead of approval plan administration.
- Profiling system is difficult for selectors and acquisitions staff to understand.
- The only disadvantage I would mark is the small press and associations. Maybe we are lucky or our vendor is very good, but we're not experiencing these difficulties or any I can easily name.
- Profiles are not specific or precise enough.
- Vendor inaccuracy was most marked during a computer system change-over and has greatly improved.
- It is questionable that new titles would come more quickly by firm order.

14. Which of the following staff are actively involved in the administration of approval plans? Indicate all that apply.

50	Head of Collection Development
57	Head of Acquisitions
15	Head of Technical Services
45	Acquisitions/technical services staff
55	Selectors/collection development staff
11	Selectors/faculty
14	Assistant Librarian, Acquisitions
4	Head of Public Services
10	Heads of Libraries
3	Director of Libraries

Other:

- Deputy Director for Collections/Technical Services
- Heads and Asst. Heads of Collection Management & Acquisitions monitor performance,but certainly not on a daily basis.
- Head of Reference and Collections Development has been in charge since March 1996.
- Head, Monograph Acquisition Division
- Head of Acquisitions and Collections
- Head, Monographic Section, Acquisitions Dept.
- Assistant Director for Technical Services and Collection Management
- Information Access Librarian
- Assistant Director for Collections Division
- Cataloging staff (for order input and pre-order searching) and Assistant Director for Collections and Public Services
- Head of Business Services

15. Which of the following staff review books? Indicate all that apply.

0	No one reviews
33	Head of Collection Development
13	Head of Acquisitions
15	Selectors
15	Teaching faculty
2	Head of Technical Services
10	Acquisitions/technical services staff
9	Assistant Librarian, Acquisitions
10	Anyone who would like to review

Other:

- Graduate students
- Bibliographers (i.e. supervisors of selectors)
- Collection Managers: 5 librarians who coordinate the work of the selectors, as well as selecting materials themselves.
- Collection Development Librarian
- All bibliographers are expected to review US/UK materials weekly, and bibliographers in charge of foreign plans review as shipments arrive. If necessary, they distribute foreign language titles to review shelves of subject bibliographers. The Chief Bibliographer reviews all titles weekly (except Latin American materials) to monitor returns and duplication. Acquisitions staff run a duplication program within the Acquisitions database and check for errors in terms of price limits, non-subject parameters, etc.

Comments:

- Role of teaching faculty is sporadic; input is invited but relatively rare and intermittent.
- Staff search for duplicate and standing order errors.
- Examination of all shipments is considered essential for ongoing evaluation of each plan and for enabling us to retain responsibility for selection and for control of our budget.

16. On which aspects of approval plans are statistics kept by the library or included in library-specific management reports supplied by the vendor? Indicate all that apply.

0	No statistics kept
60	Number of titles received
39	Number of volumes received
65	Number of returns
18	Number of claims made
47	Titles or volumes by subject
11	Titles by country of origin
66	Total expenditures
57	Total expenditure by vendor
51	Total expenditure by subject
11	Total expenditure by country of origin
19	Expenditure by area library
54	Rate of rejection
33	Value of returned volumes
43	Volumes retained
57	Average cost per book
52	Expenditure by internal fund
32	Reasons for return

Other:

- Diversity expenditures.
- We use a spreadsheet program to track approval statistics, e.g., title/volume counts, return rate, financial, etc. for each vendor. Several vendors provide their own reports on return rates and values for our plans.

Comments:

- These data are largely vendor-supplied and not in a particularly user-friendly form.
- All of the above are either provided by the vendor or are able to be generated from our III system.

17. In many libraries automation has caused the library to change its use or management of approval plans. How has the library implemented enhanced approval plan technology? Indicate all that apply.

6	No use of enhanced technology
37	Vendor-supplied bibliographic records
3	Vendor-supplied authority records
7	CIP upgrades
8	OCLC's PromptCat
5	Shelf-ready books
13	Electronic claiming
21	Electronic invoicing
16	Electronic notification of new titles
54	Interactive access to vendor's database

Other:

- Vendor-supplied order records and pre-receipt binding.
- E-mail with vendor.
- We hope to take advantage of services like electronic payment, automatic loading of approval files, etc. with a new system.
- We will be implementing vendor-supplied bibliographic records and will likely implement shelf-ready books. We are exploring CIP upgrades. Our local system does not support electronic claiming, invoicing and notification of new titles.
- We use BNA/BHB's Preferred Edition which supplies notification of titles being shifted from UK to US edition and how prices are affected.
- Currently investigating CIP upgrades, PromptCat, shelf-ready services, and electronic notification of new titles.
- Electronic ordering.
- Implementation of III software in progress.
- The library will soon be utilizing PromptCat.

Comments:

- Our library is a Dewey library with enough internal Dewey modifications that receiving shelf-ready material from vendors would not be workable. We are switching to a sophisticated integrated library system.
- We are considering vendor-supplied bibliographic records with CIP upgrades. We have moved to plans with no returns. We are working to improve automated profiling techniques.
- Electronic claiming is with e-mail.
- Vendor-supplied authority records are under consideration; other vendor services are of limited relevance for a Dewey library.
- Automation has made approval plans more effective and has made the plans more attractive.
- PromptCat is being explored, and electronic notification, invoicing, and claiming are just being implemented.
- We are planning to implement shelf-ready books, vendor-supplied bibliographic records, OCLC's PromptCat, deposit accounts with our primary US approval vendor.
- Shelf-ready books prebound but headed towards full shelf-ready; Electronic invoicing will start soon.
- Vendor-supplied bibliographic records (about 12,000 a year) save us at least one full-time staff person's time.
- We may have electronic claiming and invoicing when DRA is installed.
- We use Blackwell's database regularly for verification and ordering. We use other approval vendor's databases for verification.

18. Does the library have direct transmission of data between its automated acquisitions system and an approval vendor?

27	39%	Yes
43	61%	No

Description of Transmission

- From Yankee and Blackwell North America.
- Ordering form selections online from Blackwell North America.
- Order /payment records are received by the Library from the vendor.
- Direct transmission from vendor of packing slip bibs, order records and invoices.
- BNA and BHB downloads to our system.
- Use file transfer software to transmit data from our vendor to Innovative Interfaces system.
- No, but we are hopeful to implement in the near future.
- Our vendor ftps bib record, location, & invoice data which we load into our Innopac system.
- FTP of files into III system.
- Use tape loaded or ftp bib/order/invoice data from two vendors.
- There is direct transmission of data between the Undergraduate library and Yankee Book Peddler.
- FTP approval files into order records in our system.
- We are just beginning to use it but it does exist after a fashion. Receive invoices electronically.
- Direct transmission between BNA and Innovative Interfaces system
- One vendor downloads the records of his weekly shipments directly into our electronic "in process" file.
- Two others provide electronic records which we download ourselves.
- 1. We FTP bibliographic records for approval books and download the file into our system; 2. We are creating ordering systems using electronic notification records.
- Baker & Taylor/ Innovacq
- FTP
- Innovative Interfaces
- FTP approval records from vendor to our III system.
- Innovative Interfaces, Inc.
- Vendor transmits records of profiled books sent each week; library sends selected orders electronically.
- Online ordering and record loads.
- Blackwell North America via FTP to INNOPAC.
- We are hoping to have this when DRA is installed. Yankee Book Peddler domestic plan.
- Receive invoices electronically.

19. Has the library discontinued a plan?

63	90%	Yes; go to question 20.
7	10%	No; please STOP here and return the survey.

20. Indicate the three major reasons for discontinuing. Choose the 3 most applicable reasons for your library and rank order them with 1=most important.

One library reported 4 major reasons.

Reason	1	2	3	4
Lack of funds	13	2	5	1
Staff resistance	0	4	0	0
Faculty resistance	0	0	0	0
Profile unsatisfactory	5	15	7	0
High return rate	5	11	5	0
Switch to more specialized plan	3	0	5	0
Canceled foreign/specialized plan	6	8	5	0
Vendor unsatisfactory	26	4	4	0

Other:

- Consolidation with a Promptcat vendor.
- Books received were not what we wanted—emphasis changed.
- Vendor discontinued plan.
- Poor service and high prices.
- Vendor went out of business.
- Vendor went bankrupt.
- Vendor went into receivership.
- We have canceled plans if the vendor overspent his allocation before the end of the fiscal year or if titles were inappropriate for our needs. In some cases, fluctuations in exchange rates and changes in postal rates have eroded the allocation. If we had no funds to increase the allocation, the plan was stopped.
- Vendor's financial stability in question.
- Bankruptcy by vendor—Abel.
- Consolidation for better management/discount.
- Change in program emphasis.
- Negotiated better discount with another vendor.
- Another dealer clearly able to provide better service.
- Vendor went out of business.
- Timeliness of books.
- Academic program discontinued.
- New vendor had more to offer in terms of service.

The next set of questions is intended for those libraries without current approval plans and those libraries which may have discontinued an approval plan in the past.

A. Has the library ever considered an approval plan?

2	Yes, in the past
0	Yes, currently considering
1	No

B. If the library decided not to use approval plans, indicate the three major reasons for this decision. Choose the 3 most applicable reasons for your library and rank order those three with 1=most important

1	Expense of plans
1	Lack of funds
1	Staff resistance
0	Teaching faculty resistance
0	Lack of collection development support
1	Profile/vendor difficulties
0	Preference for standing orders
1	Book review difficult in decentralized library

Other:

- Types of material collected are not included in approval plans.
- Government regulations.
- As monograph purchasing funds diminished, selectors wanted more power over selection; they felt that approval plans tended to draw down available funds unnecessarily.

C. Has the library discontinued a plan?

3	Yes; go to question D.
2	No; please STOP here and return the survey.

D. Indicate the three major reasons for discontinuing. Choose the 3 most applicable reasons for your library and rank order those three with 1=most important.

2	Lack of funds
1	Staff resistance
0	Faculty resistance
1	Profile unsatisfactory
1	High return rate
0	Switch plans
0	Canceled foreign plan
0	Vendor unsatisfactory

Other:

- Preference for standing order.

Responding Institutions

University of Alabama
University of Arizona
Arizona State
Auburn University
Boston University
University of British Columbia
Brown University
University of California, Davis
University of California, Los Angeles
University of California, Riverside
University of California, San Diego
Case Western Reserve University
Center for Research Libraries
University of Chicago
University of Cincinnati
Colorado State University
Florida State University
Georgetown University
Georgia Institute of Technology
University of Guelph
University of Hawaii
University of Houston
University of Illinois at Chicago
University of Illinois at Urbana
University of Iowa
Iowa State University
University of Kentucky
Université Laval
Library of Congress
McGill University
McMaster University
University of Manitoba
University of Maryland
University of Massachusetts
Massachusetts Institute of Technology
University of Michigan
Michigan State University
University of Missouri
National Library of Canada
University of Nebraska
University of New Mexico
New York University
New York Public Library
North Carolina State University
University of Notre Dame
Ohio University
Ohio State University
University of Oklahoma
Oklahoma State University
University of Pennsylvania
Pennsylvania State University
University of Pittsburgh
Purdue University
Queen's University
Rice University
University of Saskatchewan
Smithsonian Institution
University of South Carolina
Southern Illinois University
State University of New York at Albany
State University of New York at Stony Brook
Temple University
University of Tennessee
University of Texas
University of Toronto
Tulane University
University of Utah
Vanderbilt University
University of Virginia
Virginia Polytechnic Institute & State University
University of Washington
Washington University
University of Waterloo
York University
Unidentifiable Institution

DOCUMENTATION

APPROVAL PLAN PROCEDURES 8/23/95

1. Books are shipped to CDU.

Shipments of books will arrive on a weekly basis, supposedly on the same day of the week.

CDU will unpack the books, check the invoice, and shelve the books on shelves located outside Bonnie's office. Shelves are labelled by subject.

2. Selectors will be notified when books in their subject area(s) have arrived.

Since there will not be books for every subject area included in every shipment, CDU will notify those selectors who have books included in that week's shipment. Selectors will be notified by e-mail.

3. Selectors review books / make decision for retention or return.

Selectors will have 3 working days to review the books and to indicate their decision concerning whether each book should be kept or returned. There are 2 book trucks near the shelves clearly marked "Keep" and "Return". Please place the book on the appropriate truck after you have reviewed the book.

** If the shipment arrives on Wednesday, the review period will be: Thursday, Friday, and Monday.

4. Returns.

If a selector decides to return a book, s/he must check off a reason on the back side of the multi-form indicating why, initial the form in the space indicated, return the form to the book, and place the book on the "Return" booktruck.

All books to be returned to Yankee must be shipped by UPS or Insured Mail.

5. Alternate fund suitability.

If a book has arrived earmarked for one subject area (fund code is printed on the multi-form inside the book, located just to the right of the date shipped), and the selector does not want it from his/her agency, BUT thinks it MAY be appropriate for some other agency, s/he should cross off the original fund code printed on the multi-form, WRITE A NOTE ON THE TOP OF THE SLIP indicating this, and suggest that another selector review it.

The book should then be placed on the alternate selector's shelf so the alternate selector can review it. We don't know how often this

will be applicable, but we anticipate this happening with the overlap of interdisciplinary books and the close subject alignment of some of the branch libraries.

6. Books not reviewed by selectors.

In the event that books are not reviewed by the selector within the review period, CDU will review the books and make the retention/ return decisions. Books that are kept will be charged to the fund they were profiled for.

7. NOTIS records.

Bib records will be entered into NOTIS within 1 day of the shipment's arrival. These records will appear in the OPAC with the status "In Pre-Order Process".

After the books have been reviewed, those kept will be cataloged and those returned will have their records suppressed (visible on the staff side ONLY) with a note indicating that they were returned.

8. Payments on NOTIS.

Books will be paid on NOTIS using dummy OPR records.
OPR records will NOT be created for every title as they are for our firm orders. These dummy OPRs will be called "Approval (agency code)" {example: Approval LS for the approval Library Science books}.

Each payment will be recorded with a brief title in the PX line.

9. Indicator on Copy Holdings Record.

Since there will be no OPR tied to the Copy Holdings Record (similar to the case for gifts), a note will be added to the Copy Statement saying "app". This is similar to the present procedure whereby the word "gift" is entered for gift books. The "app" designator will show that this copy was purchased on the Approval Plan.

10. Funds charged.

Books retained will be charged to the agency indicated on the multi-form. These books will be paid out of that agency's state money ("K" fund) first. If / when the "K" fund is expended, they will be paid out of that agency's Restricted fund.

11. Tracking expenditures.

We will be assigning a new XC code of 1122 to payments of approval books.

To see how much of a fund has been expended on approval books, look up that fund code in NOTIS {example: LTLM FI FC KLS196}} and go to the SECOND SCREEN of the record. The second screen gives totals for

all XCs charged against that fund. Look for the total of XC 1122 and that will show the amount that has been charged for approval books.

12. Slips.

Notification slips will be shipped weekly with the book shipments. These slips will be sorted and mailed to appropriate selectors. Selectors wishing to order books from slips should follow the same procedures they have been using for slips from other vendors.

Acquisitions will process slip orders as firm orders, but they will all be ordered from Yankee.

APPROVAL AND BLANKET ORDER PLANS

1 Blackwell North America (BNA) -- U.S. and Canadian Publications -- E8080

1.1 This fund is supported entirely from the monographic account.

1.2 The profile is subject-oriented. One copy of each current imprint which fits the specifications of the profile is supplied on approval.

1.2.1 Books sent on approval which do not fit our collection development policy may be returned to the vendor.

1.3 The profile is divided into three broad subject areas with sub-profiles.

1.3.1 The three broad areas are Humanities (DUNB+H), Social Sciences (DUNB+S), and Science/Technology (DUNB+T).

1.3.1.1 The Humanities profile has subprofiles for Fine Arts, Performing Arts, Music, Literature, and Authors.

1.3.1.2 The Social Sciences profile has subprofiles for Sociology/Psychology, and for Education.

1.3.3 Each profile has a Nebraska books over-ride which ensures that any book about Nebraska or the Plains States will be supplied.

1.4 Each of the profiles has different nonsubject parameters which affect whether a book will be supplied automatically or whether a notification slip will be received.

1.5 Titles announced through the notification slip service include the categories listed below.

1.5.1 Monographic series, serials, and sets: books will be sent for vol. 1 of series and sets, and slips thereafter. (All serials, including volume 1, are treated on slips.)

1.5.2 Monographs which have a list price of $150.00 or more.

1.6 BNA Literature Plan

1.6.1 One copy of publications by and about selected authors are supplied automatically.

1.6.1.2 See Appendix I for author inclusion list.

1.7 Points to Remember:

1.7.1 Notification slips are an integral part of the plan and should be examined each week so that titles which are wanted can be ordered as soon as possible.

1.7.2 All titles ordered from slips are considered firm orders and are funded from discretionary funds.

1.7.3 Titles ordered from forms are non-returnable.

1.7.4 Notification slip orders are for one copy only. Additional copies are ordered on order cards attached to the slip and submitted together.

1.7.5 Titles ordered on BNA slips appear in the In-Process listing because they are charged to a departmental or discretionary fund, or to a foundation account.

1.7.6 BNA slips which are more than 15 months old may be submitted as orders. The Order Section determines the appropriate vendor and types an order card if necessary.

1.7.7 The current edition of the BNA New Books Status Report microfiche and the BNA Continuations microfiche are available in Acquisitions.

1.7.8 All BNA notification slips submitted must have the location indicator, librarian's initials, and the fund designation, in that order, written on the left side of the form. (See example)

1.7.9 Documentation for the approval plan, including profiles, is available in the Acquisitions office. The profiles are also available in the office of the Collection Management Coordinator.

1.7.10 Statistical reports are available to document our approval plan receipts. These are currently being supplied semi-annually and annually. Additional reports are available from BNA upon request.

2 B.H. Blackwell -- British Publications -- E8282

2.1 This fund is supported entirely from the monographic account.

2.2 The B.H. Blackwell approval plan consists of several subject sub-profiles. A separate sub-profile has been developed for humanities, social sciences, and science & technology. This modular approach has allowed for more flexibility and specificity in coding the non-subject parameters.

2.3 In addition to the three main sub-profiles, two discipline-specific sub-profiles are established for art and philosophy.

2.3.1 Art and art media are coded for the receipt of heavily illustrated works as books.

2.3.2 Philosophy is coded for receipt of books for selected works (i.e., selections of previously published writings of an author) and for translations into English.

2.4 A composite forms profile has been established for all subjects coded for non-receipt of books, except for a few specific subjects which are coded for exclusion of both.

2.5 Blackwell's British literature plan

2.5.1 One copy of books written by or about a selected list of dramatists, novelists, and poets is supplied automatically. Notification forms are supplied for other selected authors.

2.5.2 See Appendix II for an author inclusion list.

2.6 Points to Remember:

2.6.1 Notification slips are an integral part of the plan and should be examined each week so that the titles which are wanted can be ordered as soon as possible.

2.6.2 Notification slips are for only one copy of the title. Additional copies must be ordered on an order card.

2.6.3 Titles ordered from slips are considered firm orders and are funded from discretionary funds.

2.6.4 Titles ordered from slips are non-returnable.

2.6.5 All slips submitted for orders must have fund, location, and initials of the appropriate librarian written on the left side of the slip. (See example)

2.6.6 Notification forms coded with ?PE are periodicals and must be ordered on order cards rather then Blackwell slips.

2.6.7 Copies of Blackwell's Books of the Week (BBOW) are supplied as a monitoring device and are available in Central Reference

STATE UNIVERSITY OF NEW YORK

AT STONY BROOK LIBRARIES

VENDOR SERVICE EXPECTATIONS AND QUESTIONS

April 1996

General Service Expectations

A. Scope of Materials Supplied

1. We expect that you will be able to supply books from all types of publishers. Strong coverage of university presses, university affiliates, scholarly societies and other scholarly publishers is particularly important.

2. We expect that you will be able to supply all books distributed in the U.S. regardless of country of origin.

B. Pricing, Discounts, and Charges

1. The Library currently enjoys significant discounts on approval and firm order materials from several of our vendors, and we expect to continue to receive discounts consistent with the volume of our business. We have not, however, selected vendors in the past based solely on discount and will not do so in the future. Therefore, we are not setting minimum discount requirements for your proposal. Instead, we invite your company to suggest the best possible discounts it can offer on Stony Brook's approval, continuations, and firm order programs.

2. We expect that you will not apply service charges on approval, firm order, or continuations materials.

3. We expect that you will not charge for shipping of approval, firm order, or continuations materials.

C. Returns

1. We expect that you will accept return of approval, firm order, and continuations books within six months of shipment for full credit.

2. We expect that you will accept return of approval, firm order, and continuations books for full credit after six months if we request and receive prior approval from your company for these returns. We will make every effort to process materials within six months of receipt to guarantee that few returns are requested after six months.

D. Shipping and Insurance

1. We expect that materials will be shipped so as to meet the delivery time requirement detailed later in the approval, continuations, and firm order sections of this document.

2. We expect that all materials shipped to Stony Brook will be insured.

General Service Questions

A. Scope of Materials Supplied

1. How does your company ensure excellent coverage of publishers of particular importance to university libraries?

2. How does your company ensure coverage of small presses and the output of publishing agencies such as university departments or research institutes?

3. Do you provide non-book formats on approval or continuations?

4. Does your company provide coverage of books published outside the U.S. and never distributed in the U.S.? If so, how and for which countries?

5. How do you recommend that libraries guard against duplication caused by simultaneous publication of the same title in different countries, and how does your company assist libraries in dealing with this problem?

B. Pricing, Discounts, and Charges

1. How does your company determine list price? Will your company consent to supply copies of publisher invoices on request?

2. What factors does your company take into consideration in setting discounts for approval, continuations, and firm order programs? Are discount levels impacted by returns?

3. How frequently does your company review and adjust discounts for its library customers, and are these deliberations reviewed with your customers? How long are discounts guaranteed to remain in effect?

4. What level of discount can you offer for our firm order business only? For our approval business only? For our continuations business only?

5. What discount levels can you offer in each area if we were to consolidate our business with your company?

6. How would our discounts be affected if we contracted with your company to supply books published outside and never distributed in the U.S., assuming that you provide such a service?

Approval Expectations

A. General

1. We expect that you are experienced in managing approval programs and have offered such programs for at least five years.

2. We expect that you currently supply approval books to libraries with collection development programs comparable to Stony Brook's. Please list several of these libraries.

3. We expect that no other part of the work specified in the approval plan agreement with Stony Brook may be transferred to another firm without prior written authorization of the libraries.

4. We expect that your company's representative(s) shall be thoroughly familiar with the terms of the agreement between your company and the Stony Brook Libraries and shall have in-depth knowledge of the approval plan agreement with the Libraries and an understanding of the relationship between the service provided by the vendor and the Libraries' collection needs.

5. We expect that the estimated total expenditure for the approval program shall be approximately $250,000 per year. However, Stony Brook shall not be committed to this amount as it is not guaranteed and may be more or less than estimated.

B. Approval Program Structure/Profiling

1. We expect that you provide sophisticated profiling techniques that will permit our library to customize its approval program by subject and non-subject factors. For example, we expect that your profiles will permit us to combine subject and publisher approaches.

2. We expect that you will automatically supply current domestic and foreign publications (as specified above), in accordance with subject and non-subject profiles established by the Libraries.

3. We expect that the subject profile shall be based on the Library of Congress Classification or on a standardized and hierarchically arranged subject thesaurus descriptive of academic disciplines supported by a library in a comprehensive research university.

4. We expect a profile that can incorporate free text specifications or language to cover special areas of

interest and/or local coverage (i.e. books on Stony Brook, NY or Long Island, NY).

5. We expect that your profiling techniques can be easily understood by technical services staff and subject librarians and that you will provide periodic training for our staff in creating and adjusting profiles.

6. We expect a representative from your company to visit Stony Brook at least every six months and meet with subject librarians to review and, if necessary, to adjust profiles.

7. We expect that minor profile changes will take no longer than one week and major changes no longer that two weeks to implement. We expect written confirmation of profile changes.

8. We expect to assign Stony Brook's Library fund codes to profile subject areas. As indicated below, we expect that these codes will appear in invoicing data, on exclusion forms, and on forms sent with approval books.

9. If we establish approval, continuations, and firm order programs with your company, we expect that you will be able to prevent duplication of titles supplied by these programs.

10. If we establish an approval program with your company but have our continuations program with another company, we expect that you will be able to exclude specific series from the approval program upon request.

C. Form/Slip Plans

1. We expect that you will provide a forms/slip plan for books potentially of interest to us but not shipped through the approval program.

2. We expect that you will provide the same discount on books ordered from forms/slips as you provide on the general approval program.

3. We expect that you will include the Library's subject budget codes on forms/slips.

4. We expect that you will include all pertinent bibliographic information on forms/slips.

D. Delivery, Shipping, and Accounting

1. We expect 80 percent of approval books to be delivered no more than 60 days after publication. We further expect

that the remaining 20 percent would be delivered no more than 180 days after publication.

2. We expect that you will ship approval materials at least once a week and on a scheduled basis (i.e. on the same day of the week). Changes to the schedule will be made only with the written consent of the Library.

3. We expect invoicing data to be available in machine-readable format and in hard copy. We expect you to be able to transmit bibliographic data and receive order and claim data electronically from the Library.

4. We expect machine-readable invoicing to include Library subject budget codes assigned in profiling.

5. We expect hard copy invoices to be provided in triplicate and delivered with books.

6. We expect that paperback format will be provided unless we specify otherwise in all cases where either hardback or paperback is available.

7. We expect that your company will supply us with, and allow us to use, self-credit memos to enable us to apply our credits as rapidly as possible.

8. We expect that if Stony Brook establishes approval and firm order or continuations programs with your company, that those programs will be maintained as separate accounts. For example, we expect approval and firm order materials to be shipped and invoiced separately.

9. We expect that you will provide at least a four-part form with each approval book shipped. This form must be in a format suitable for processing and cataloging, and include a space in the upper left hand corner for writing a call number.

10. We expect that shipments will be postpaid by you.

11. We expect that you will pack all shipments carefully in accordance with accepted trade practices.

12. We expect that you will be responsible for delivery of all materials in good condition.

E. Management Reports

1. We expect you to provide standard management reports twice a year that include information on number and cost of titles shipped and number of titles returned. These

reports must be sorted by LC class number. Returns must also be analyzed by reason for return.

2. We expect to be able to order customized management reports such as title listings within LC class numbers or listings of titles shipped by publisher.

3. We expect that you will be able to produce reports including, but not limited to, the following: claims analysis, form selection analysis, and returns analysis.

4. We expect that you will be able to provide budgetary projections describing the impact of any changes, additions and deletions to subject, non-subject parameter or publisher coverage.

Approval Questions

A. Orientation of Profiles and Sub-profiles

1. Please demonstrate your capability of establishing specialized profiles. For example, how would a Women's Studies profile appear in your program?

2. Please demonstrate the level of specificity in profiling which you can provide. For example, how would you develop a profile for an area studies program such as Latin American Studies that covers the social sciences and the humanities? How complex would such a profile be to develop and operate?

3. When titles are coded, what level of subject specificity is used? Is it generally a broad coding or can it be a narrow coding? Please give a few examples of how specific titles that are narrow in focus would be coded.

B. Establishing and Changing Profiles

1. What steps would you follow in establishing a new approval program with Stony Brook?

2. How flexible can you be in modifying (adjusting) a profile during a fiscal year?

3. Are certain types of profiles easier to modify than others within your program?

4. Can profile changes be made by telephone, or must they be requested in writing, or through a combination of these procedures?

5. Can you give written confirmation of recent profile changes only as well as supplying a new copy of the entire profile periodically?

6. Can you accurately translate information from the Libraries' LC-based written Collection Development Policy into a working profile that meets the needs of the Libraries?

7. Can you accurately translate a LC-based approval plan profile established with another vendor into a working profile that meets the needs of the Libraries?

C. Handling of subject materials

1. Do you supply books to academic libraries and public libraries? If so, do you have separate staff assigned to

selecting/coding materials for the different types of libraries, or does the same staff handle both? What factors are used in determining whether a book should be coded for an academic vs. public library?

2. How many employees do you have coding books for approval programs? What academic training, subject expertise, and library experience do these employees have?

D. Vendor Experience with Certain types of publishers

Do you supply association, trade, commercial, university press, and other university-affiliated publishing on approval? Are there certain publishers which you cannot supply consistently? If so, do you advise ordering directly from these publishers, and can you supply a list of the publishers you do not handle?

E. Costs and Accounting

1. If we establish an approval program with your company, can you project the annual cost for operating the program?

2. Can you provide periodic cost projections, divided by LC-class or the Library's subject allocations, for the approval program once it is in operation?

F. Reports

1. Can you supply us with machine-readable information (for example Lotus or Excel files) on the approval program that would enable us to generate our own customized reports? If so, please describe what kinds of information are available and in what format.

2. Can you provide reports on expenditures and returns by publisher and LC class?

G. Vendor Staff

Questions 1-6 can refer to either field representatives or customer service representatives. Please respond for both categories of representatives.

1. How are representatives trained? What are their educational backgrounds and work experience?

2. How large a territory and how many libraries are they expected to cover?

3. What is the average length of time representatives work for you?

4. What services will the representatives provide for our library?

5. Will the library work with only one representative, or can more than one person assist us?

6. How often are representatives in contact by telephone?

7. How many on-site visits per year do field representatives make to each library?

8. How many sales representatives do you have and how many hold the MLS degree?

9. How many customer services representatives? How many have the MLS?

H. Approval and Exclusion Slips

1. What information is included on slips that accompany approval books? (please supply examples)

2. What information is included on exclusion slips? (please supply examples)

I. Inventory and Returns

1. How large an inventory do you maintain? Where are your warehouses located?

2. Please explain how you determine which books are to be ordered from publishers for your approval programs and in what quantities?

3. Do you now offer or plan to offer a service online that would allow us to search a record of your inventory to determine the availability of a title and whether the title has been selected as an approval book for Stony Brook?

4. What rate of return do you consider acceptable?

5. Could you supply the library with a semi-annual report listing titles returned and reason for return. Could this report be sorted by LC class number or Stony Brook Fund Code?

J. Vendor Automation

1. What library automation systems do you currently interface with, and what types of collection development and/or acquisitions functions can be completed online?

2. **Please describe the bibliographical database services you provide and the costs associated with these services.**

3. **What are your current capabilities in the area of X12 EDI for ordering, invoicing, and claiming?**

K. **What distinguishes you from other vendors?**

Continuations Requirements

A. General

1. We expect that you currently supply continuations books to libraries with collection development programs similar to Stony Brook's. Please list a few of these libraries so that we may contact them.

2. We expect that you will be able to supply over 5,000 continuations titles annually.

B. Coverage and Delivery

1. We expect that 80 percent of continuations books will be delivered no more than 60 days after publication. We further expect that the other 20 percent will be delivered no more than 180 days after publication.

2. If we establish continuations, approval, and firm order programs with your company, we expect that you will be able to prevent duplication of titles supplied by these programs.

C. Services and Staffing

1. We expect a representative from your company to visit Stony Brook at least once a year to discuss our continuations program.

2. We expect prompt and appropriate response to claims for continuations material.

D. Costs, Accounting, Invoicing

1. We expect to receive hard copy invoices in triplicate.

2. We expect to have purchase order numbers quoted on all invoices and other business correspondence.

3. We expect that if Stony Brook establishes continuations and approval or firm order programs with your company that those programs will be maintained as separate accounts. For example, we expect continuations and approval materials to be shipped and invoiced separately.

4. If we transfer our continuations to your company, we expect you to offer an extremely liberal returns policy during the early months of the program when some duplication with the previous continuations program is likely to occur.

Continuations Questions

A. Coverage and Delivery

1. Do you supply continuations for books published and distributed outside the United States? If so, for what countries?

2. Are there publishers whose materials you cannot or will not handle on continuations? Will you supply a list of these publishers?

3. Are there specific series or types of publications that you cannot or will not supply on continuations?

4. Will you supply difficult to acquire and/or relatively low-profit materials?

5. Can you provide "rush" handling for the first issue of a new continuations order, or any other specifically requested issue?

6. Are continuations filled from your inventory?

B. Services and Staffing

1. Do you have separate departments/staff handling continuations, approval, and firm orders? If so, how many staff are dedicated to your continuations operation?

2. If we were to select you as our continuations and approval or firm order vendor, would we have one service representative or several?

3. What is the average length of time customer service representatives work for you and how long can we expect the same representative to be assigned to us?

4. If we were to decide to move our continuations program to your company are there any special services you could offer to facilitate the transition?

5. Do you offer an "800" telephone number for handling service concerns?

6. Please describe any automated features you have implemented or plan to implement for your continuations programs. For example, do you now offer electronic ordering and claiming or plan to offer these services in the near future?

C. Costs, Accounting and Invoicing

1. Are discounts available for deposit accounts? If so, what levels of discounts are available?

2. How do you guarantee the security of deposits placed with your company?

3. What information is included on a hard copy continuations invoice? Please supply an example. Assuming we would like additional information on your invoice or the information displayed somewhat differently, are you willing to customize your invoice?

4. What are your current capabilities in the area of X12 EDI for ordering, invoicing, and claiming?

D. Management Reports

1. What type of management reports do you offer for continuations programs?

2. Are you willing to produce customized reports on request?

E. What distinguishes you from other vendors who handle continuations programs?

Firm Order Requirements

A. Delivery/Fulfillment

1. We expect that you will be able to supply on firm order at least 90 percent of all books published or distributed in the U.S.

2. We expect that at least 80 percent of current in-print books ordered should be received by Stony Brook within 90 days.

3. We expect that rush orders will be supplied within no more than 30 days of order and that no additional charges will be assessed for rush orders.

4. We expect to be able to submit rush orders by telephone using a toll-free number or to use another equally expeditious way of rush ordering books.

5. We expect that outstanding orders will be kept active for 18 months and then canceled automatically.

B. Cost, Invoicing, and Shipping

1. We expect that invoices and all other business correspondence will reference Stony Brook purchase order numbers. The purchase order number should be shown for each item on an invoice.

2. We expect that shipments will be accompanied by hardcopy invoices in triplicate.

3. We expect that all orders will be shipped and billed to the address we supply.

4. We expect that rush items will be billed separately and shipped in boxes marked "RUSH."

5. We expect that you will confirm orders before shipping in all cases where the actual price is more than $40 above the encumbered amount shown on our purchase order.

6. We expect that we will be able to request permission to return unwanted items, such as incorrect titles.

7. We expect that you will accept adjusted invoices for returns, so returns can be processed without requesting permission or waiting for credit.

8. We expect you to prepay orders when required by publisher.

9. We expect that if Stony Brook establishes firm order, approval or continuations programs with your company, that those programs will be maintained as separate accounts. For example, we expect approval and firm order materials to be shipped and invoiced separately.

10. We expect that every effort will be made by your company to ensure that books received at Stony Brook arrive in good condition and that you will accept returns of damaged materials without question.

Firm Order Questions

A. Management Reports

What types of reports are you able to supply on your firm order programs? Can you supply reports on fulfillment rates and turn-around times?

B. Delivery/Fulfillment rates

1. How often do you claim unfilled orders from publishers and at what intervals?

2. How do you communicate with libraries in response to claims?

3. How often and in what way would you report on the status of all our outstanding orders? How specific are your reports?

4. Are you capable of producing a report that breaks down orders filled, outstanding, and billed by subject category?

5. What are your current capabilities in the area of X12 EDI for ordering, invoicing, and claiming?

6. If you were to handle both our firm order and approval programs, what mechanism do you have in place to prevent duplication between the two programs?

7. Will you be able to supply 3-part bibliographic forms with firm ordered books?

8. Do you warehouse books and, if so, how many?

9. If you do warehouse books, is it possible to contact you by phone before placing an order so that your available stock can be checked first?

10. If we need an immediate response to a question regarding our account or an order, how do we get it from you?

CENTRAL LIBRARY SYSTEM INTEROFFICE MEMORANDUM

TO: Collection Development Services
Central Library System Selectors

FROM: Fran Hopkins Fran Hopkins

RE: Change to Procedures for BNA/BHB Approval Returns to Enhance Referrals

DATE: November 5, 1990

Although approval books are organized by LC class, they are increasingly interdisciplinary in content and may be of interest to a number of selectors. Therfore, the Bibliographers and Cornelia Tucker have considered ways to supplement our normal referral practice. We have decided to try out the following procedure for handling returns.

(1) The return shelves have now been labeled and moved to incorporate the bottom three shelves to the right and left of the approval cage doors.

(2) Books placed on these shelves for return will be left there for one week beyond the removal date of the shipment.

(3) All Selectors should examine these returns and decide if they wish to take any for their subjects.

(4) If you wish to take any of these books for your subject(s), you should

(a) remove and discard the BNA return form and the approval disposition form

(b) write the appropriate acquisitions code on one of the approval slips for the book

(c) place the book and slip on your assigned shelf on the opposite side of the cage (i.e. the one that holds the <u>current</u> shipment.)

(5) At the end of the extended display period, the Bibliographers will continue the past practice of giving books on the return shelves a final review before approving their return.

Please note that the original Selector is still required to complete the approval disposition form and

the BNA return slip, when he/she puts on a book on the return shelf. When doing so, try to take no more than one copy of the approval slip for your records, as other Selectors may need copies.

Please continue to make referrals to other Selectors. One reminder: do not leave the books you are referring on your own shelf. Either (1) put a referred book on the Selector's shelf for the coming week, so he/she can handle it with the next week's shipment or (2) make sure the Selector has not yet reviewed the books on the current week's shelf before you place the book you are referring there. This will save Acquisitions some time and help them expedite handling of these items.

xc: Cornelia Tucker
Alene Green
Collection Development Activities Group

ATTENTION APPROVAL SELECTORS

Please begin using the new Acquisitions Codes for the titles you select from the current approval shipment (Going up on Wednesday, July 6 -- Coming down on Tuesday, July 12), AND add their cost to your encumbrances for the 1988-89 fiscal year.

You should find an extra copy of the form in each book, so you will have one copy to code and leave in the book, and one to keep for your files. Samples of coded BNA and BHB forms are below.

As requested by some selectors, a list of the new subject codes is on the table in the approval cage.

Thanks for your cooperation. Please let me know if you have questions.

Cornelia Tucker

7/6/88 CT

COPY 4

Stape, John Henry
Angus Wilson : a bibliography 1947-1987 / by J.H. Stape and Anne N. Thomas with a Foreword by Angus Wilson. - London : Mansell Pub.Ltd., 1988

xvi,327p ; 22cm. - Indexes

COPIES 1

PLEASE QUOTE INVOICE NUMBER 55388361 050 ON PAYMENT

Z8976.485 016.823 88750189

INVOICE DATE 07 Jun 88 | ISBN 07201-18727 | 40803503 000 TEMPLE UNIV | £40.00 $73.20

NEW TITLE INVOICE | PLA-ENL/EBH BOOKS 7/7/88 | BLACKWELL'S, OXFORD, ENGLAND V.A.T. Reg. No. 194 2039 62

3

Accounting & ... study perspe... ed; 1986) 7 ed; Jr.
Harvard Busin...

HF 480 .B-18L7

Olvol 1987

374p

BOOK NO 03-442930
TEMPLE UNIVERSI LIBRARY BOOKS

SUBJECT: 1715067 Indiv fiction writers: crit, 930249 Wilson, Angus - crit.
NSP'S: TYPE OF LIBRARY: Univ. research, Undergrad. READERSHIP: Genl reference. TYPE OF BOOK: Biblio/index. ORIGIN: England. GEOG CHAR: England. TIME PERIOD: 20th century.

BBI 30.45

BLACKWELL NORTH AMERICA, INC. BLACKWOOD, NJ LAKE OSWEGO, OREGON 30.45

NEW JBU-BUS/BCW 7/7/88

COPY 1

SUBJECTS: 368008 Corp finance 36800605 Financial...

NSP'S: LIB TYPE: Univ,College Trade GEOG CHAR: U.S. ORIG COUNTRY OF P... READER LEVEL: Spec ... T...

BEST COPY AVAILABLE

Documentation of spreadsheets used for record keeping and production of monthly statistics

The Approval/Blanket order section uses the Excel spreadsheet software on a Macintosh computer to keep records of invoices received and processed along with the number of titles and volumes received. Monthly financial and statistical reports are also produced using this software. The vendor and monthly spreadsheets are kept in the Administrative Server in the **-Work Groups** folder **A/BO Section.** The various spreadsheets for a particular fiscal year are assembled in folders entitled **Approval Stats FY--.** The documentation below has been written to describe the various spreadsheets and macros used to keep statistics and the production of monthly statistics reports. The actual step-by-step procedure is detailed elsewhere in the document **PRODUCTION OF MONTHLY STATISTICS REPORTS**.

Wherever possible the description of the various spreadsheets has been made by listing the column on the spreadsheet and what information can be found in that column. In some cases, such as Macros, this is not possible. Also, there are certain cells or groups of cells where data may be entered that do not occupy an entire column.

Vendor spreadsheets

There are 31 vendor spreadsheets, one for each approval, blanket order, or selection plan. These spreadsheets correspond to the paper "Invoice Log" kept by the Library Assistants in the A/BO section. The vendor's invoice number is recorded along with the vendor's invoice date. Also entered into the spreadsheet are the number of titles/volumes received and the gross amount of the invoice. This invoice information should be entered into the spreadsheet as soon as possible and this constitutes the "Invoice In Process" information.

After materials have been reviewed by bibliographers and any titles returned, the "Invoice Processed" information is entered. The number of titles/volumes returned is entered and a formula in the spreadsheet automatically calculates the net titles/volumes. Another formula in the spreadsheet assumes the net dollar amount of the invoice equals the gross amount. If the net amount is different, it must be entered into the appropriate cell. The "invoice to bookkeeping date" is the date the invoice was sent to bookkeeping for payment. Return stats and net amounts for invoices should not be entered until the invoice has gone down to bookkeeping.

A running balance is kept by the spreadsheet to track the amount of funds left in the allocation. The allocation amount can be found at the top of the spreadsheet.

A description by column of this part of the spreadsheet is given below:

Description of invoice information segment of VENDOR SPREADSHEET by column

Columns in the spreadsheet used for entering invoice data from the paper log are described below. The column heading is given after the column letter. The column headings listed are used by the extraction process in the **VENDOR MACRO** and should never be changed. Because the full heading may not be visible, extra text in cells in the row above the column heading is used.

Allocation information: Row **1** and column **M**

Cell **B1** ALLOCATION dollar amount allocated to vendor for fiscal year

Cell **L1** ADJUSTED ALLOCATION - Allocation adjusted for any transfers of funds. The transfers are entered into the Adjustments cells in column **M**. Formula **=B1+M5+M11+M17+M23**

M ADJUSTMENTS (Cells **2-25**) Allocation adjustment (fund transfer) information. Enter appropriate blank cells the amount of adjustment, date of adjustment, and brief note citing source or reason for adjustment (e.g. transfer from *art).

Invoice in-process information

A INV NUMBER - Vendor's invoice number

B INV DATE - Vendor's invoice date

C TITLES RECD - number of titles received on the invoice

D VOLS RECD - number of volumes received on the invoice

E GROSS AMOUNT - Gross dollar amount of invoice. This amount will automatically be entered into the NET AMOUNT column by a formula.

Invoice to bookkeeping (processed for payment) information.

F TITLES RETD - number of titles returned to vendor

G VOLS RETD - number of volumes returned to vendor

H TITLES NET - Net number of titles kept from invoice. Calculated by spreadsheet using the formula **C - F**

I VOLS NET - Net number of volumes kept from invoice. Calculated by spreadsheet using the formula **D - G**

J NET AMOUNT - Net amount of invoice allowing for returned titles/volumes. When the GROSS AMOUNT is entered a formula automatically enters that amount in the NET AMOUNT cell. If there are any titles returned, then this amount must be changed to the correct net amount of the invoice. If there were no returns, then the net amount will remain unchanged.

K INV TO BKKG - date that invoice was sent to Bookkeeping. If the invoice has not been sent to Bookkeeping, the cell will have a "check date" of 1-1-04 (1904) which is used by the **VENDOR MACRO** as a criteria in the macro's data extraction.

L BALANCE - Starting with cell **L3**. This is a running balance against the allocation which the spreadsheet calculates by the formula Amount in cell **Lx** - amount in cell **J(x+1)** with the exception of the very first value which is calculated by subtracting the first invoice's net amount from the ADJUSTED ALLOCATION (cell **L1**)

Description of segments of vendor spreadsheets used in conjuction with VENDOR MACRO*.

At the bottom of this section of the vendor spreadsheet (row 102, except for BNA, BHB, and Ibero) cells are set up to keep running totals of the various columns of information such as titles received, gross dollar amount of invoices, etc. The text below these cells identify what is being summed These sums are used in the other section of the spreadsheet in conjunction with the extraction of data by the use of the macro **VENDOR MACRO** to compute the monthly statistics for a vendor.

The database for the extraction by the macro are the cells used in entering the invoice data, invoice to bookeeping dates, and balance. The running sums at the bottom of the spreadsheet are not included in the database.

The other part of the spreadsheet is set up to compile the monthly statistics for each vendor. No data should be entered into these cells. The macro **VENDOR MACRO** uses this space when it extracts the "invoices processed" and "invoices in-process" information on the vendor spreadsheet.

After the macro is run, the summary of the "invoices processed" information is displayed in the area bounded by cells **N51** to **W55**. These cells will display the invoices processed for the period chosen and the year to date statistics. The "in-process" data is displayed in the area bounded by cells **M125** to **R128**.

The year-to-date statistics for the Net Invoice amount are computed by taking the sum of the net totals of all invoices entered (which actually includes the gross totals of any invoices in-progess because of the way the spreadsheet is set up) and then subtracting the total for the gross amount of all invoices in-progress. The YTD net title/volume counts are computed in the same way.

NOTE: The macro **VENDOR MACRO** must be run to update these statistics. While the YTD stats may appear to change as new data is added, it cannot be considered accurate unless the macro is run to extract all the pertinent processed and in-process data to make the calculations valid.

*FY96-97 Due to the number of invoices received at one time from Iberoamericana and BNA, a special version of the VENDOR MACRO (called VENDOR IBERO MACRO) was created and the IBERO spreadsheet was altered to accommodate this. The special macro is contained in the **UPDATE ALL SPREADSHEETS** macro, but it is still necessary to update the date parameters just as in the regular **VENDOR MACRO**.

VENDOR MACRO

The macro **VENDOR MACRO** extracts data from the database of the vendor spreadsheet and compiles the monthly "invoice processed" and "invoice in-process" statistics for the vendor. This is referred to as "updating the vendor spreadsheet". The macro does this by setting extraction ranges in the vendor spreadsheet, extracting data from the database portion of the vendor spreadsheet (the invoice information entered by the LA's) according to certain criteria and then placing that data in the extraction range specified by the macro.

The extraction criteria are:

1. Invoices that have an "invoice to bookkeeping date" between a specified day (usually the first of the month) and another specified day (usually the last day of the month) The beginning and ending date are specified by entering the dates into the appropriate cell of the macro sheet before the macro is run:
   Cell **3** specifies the first day of period of interest (e.g. 1/1/95)
   Cell **5** specifies the last day of period of interest (e.g. 1/31/95)
2. Invoices that are "in process". There must be a value in the invoice number cell and the "invoice to bookkeeping date" is the default value of 1/1/04. (Jan. 1, 1904)

Once the invoice information has been extracted by the macro, cells in the vendor spreadsheet use formulas to calculate the totals for the "invoices processed" and "in-process" statistics.

UPDATE ALL SPREADSHEETS Macro

The macro **UPDATE ALL SPREADSHEETS** does exactly that. It will run the macro **VENDOR MACRO** on each of the vendor spreadsheets. For this to be accomplished the **VENDOR MACRO** macro sheet must be opened and the correct beginning and ending date entered into cells 3 and 5 on the macro sheet. No changes need to be made to the **UPDATE...** macro.

NOTE: **VENDOR MACRO** must be open before the **UPDATE ALL SPREADSHEETS** macro can be run.

When the **UPDATE ALL...** macro is started a dialogue box will appear asking the user to confirm that all changes have been made to the **VENDOR MACRO**. Once this has been confirmed, then the macro begins updating the vendor spreadsheets. The display is turned off to make the program run faster. Another dialogue box appears when all the spreadsheets have been updated. This will take several minutes.

MONTHLY REPORT Spreadsheet

The **MONTHLY REPORT** spreadsheet is a spreadsheet that has a row of data for each of the thirty-one approval, selection, or blanket order plans. These are organized by how each plan is funded: Current Books, departmental funds, or Collection funds (BLAC). These are further organized within those divisions according to the type of plan: approval, selection, or blanket order. The spreadsheet has a "subtotal" row for each of the three divisions and a "Grand Total" row for all the plans.

Each vendor line contains data supplied by links to that particular vendor spreadsheet which is the "invoices processed" or "invoices to bookkeeping" data and the "in process" data. Also contained in each row is the allocation for that plan, any adjustments to that allocation, encumbrances, and data from the previous fiscal year. The encumbrance data and some financial data from the same report period for the previous fiscal year must be entered for each new report period.

The report spreadsheet has three sections as one goes across the spreadsheet. The first section contains the monthly and year-to-date financial data, the second section contains the monthly and YTD Title/Volume information, and the third section contains the monthly Title/Volume count by catalog location, invoice count, and bindery report. By using the Format menu to hide various columns the four monthly statistics reports are produced:

- The Financial Report
- The Title/Volume Report
- The Encumbrance Report
- The Title/Volume (by catalog location), Invoice and Bindery Report

The actual step-by-step procedure is detailed elsewhere in the document **PRODUCTION OF MONTHLY STATISTICS REPORTS**.

Description of MONTHLY REPORT spreadsheet by column

Each column in the spreadsheet is described below. Any cells in the monthly report spreadsheet that contain data supplied by the vendor spreadsheet are indicated by **LINK (vendor spreadsheet cell reference)** . It is assumed that all the vendor spreadsheets have been updated by the **VENDOR MACRO** using the **UPDATE ALL SPREADSHEETS** macro before the **MONTHLY REPORT** is opened so that all data is current for the report period.

Names have been defined for some of the columns in order to make the spreadsheet easier to check. These names can be found in the "Define Names" option under the **FORMULA** menu. They will be indicated in this document by boldface type in parentheses after the column heading.

A blank

Vendor/plan allocation information. (B-N)
This information should stay constant throughout the fiscal year with the exception of adjustments (and adjustment dates) made to allocations.

B vendor name
C blank except for Departmental plans where fund is identified
D NUMBER - LD number for plan
E ALLOCATION - initial allocation for plan
F,H,J,L ADJUSTMENT - amounts added to or subtracted from original allocation as deemed necessary by appropriate authority
NOTE: The procedure for making adjustments to allocations can be found by referring to the document **"Adjustments to allocations".**
G,I,K,M DATE - Date adjustment was made to allocation
N FY XX/XY ADJUSTED ALLOCATION **(ADJ_ALLOCATION)** - the amount of money in allocation after adding or subtracting adjustment. This column is used in all further calculations in the spreadsheet. The cell contains a formula that adds amounts in columns **E** (ALLOCATION) and the ADJUSTMENT(s) in columns **F,H,J,** and **L**..

Financial/Encumbrance Report data (O-AA)

Current FY data compiled for this reporting period. (O-X)

O MONTH'S INVOICES TO BKKG - **LINK(V52)** Dollar amount of invoices processed and sent to bookeeping for payment this report period

P INVOICE COUNT - **LINK(O53)** Number of invoices processed for the report period

Q YTD INVOICES TO BKKG **(YTD_INV_TO_BKKP)** - **LINK(V55)** Total amount of all invoices sent to bookeeping to date for this fiscal year

R INVOICES IN PROGRESS **(INV_IN_PROG)** - **LINK(R126)** Dollar amount of all invoices in progress (not yet sent to bookkeeping) for this report period

S INVOICES YTD plus INV In-Proc. **(GROSS_INV_TOTAL)** - Sum of column **Q** plus column **R**.

T INVOICES AS % OF ALLOCATION - This calculation is done by dividing the amount in column **S** by the adjusted allocation (column **N**)

U ENCUMBRANCES **(ENCUMBRANCES)** - amount encumbered for fund. This is entered manually. Only applies to plans where encumbrances are used.

V TOTAL AMOUNT OUTSTANDING **(OUTSTANDING)**. - sum of column **R** and column **U**
Selection plans only: value equals column **U** (encumbrance) (selection plans do not count INVOICES IN PROGRESS as outstanding because all items on the invoices are encumbered)

W FY XX/XY BALANCE **(BALANCE)** - Amount of adjusted allocation remaining for fiscal year. Calculated as follows:
Column **N** - (column **Q** + column **V**) Adjusted allocation minus the sum of the YTD invoices processed plus amount outstanding.

X BALANCE AS % OF ALLOCATION - This calculation is done by dividing the amount in column **W** by the adjusted allocation (column **N**)

Previous fiscal year data. same reporting period (Y,Z,AA)

Y AMOUNT ALLOCATED **(PREVIOUS_ALLOCATION)** - Adjusted allocation from previous fiscal year. Use the adjusted allocation as it was at the end of the fiscal year. Enter manually (or paste in amounts) when compiling first report of fiscal year.

Z FY XX BALANCE YTD **(PREVIOUS_FY_BALANCE)** - Balance for same report period last fiscal year. Enter manually using previous FY report same period.

AA balance AS % OF ALLOCATION - Column **Z** divided by column **Y** reported as %.

AB blank

Title/Volume Report data (AC - AM)

AC MONTH'S NET TITLES REC'D - **LINK(T52)** Net number of titles received on invoices that have been sent to Bookkeeping for payment for this report period

AD MONTH'S NET VOLUMES REC'D - **LINK(U52)** Net number of volumes received on invoices that have been sent to Bookkeeping for payment for this report period

AE YTD GR. TITLES REC'D **(TITLES_RECD)** - **LINK(P55)** Gross number of titles received (invoices sent to Bookkeeping) year to date. Does not count titles in process.

AF YTD GR. VOLUMES REC'D **(VOLS_RECD)** - **LINK(Q55)** Gross number of volumes received (invoices sent to Bookkeeping) year to date. Does not count volumes in process.

AG MONTH'S TITLES IN PROCESS - **LINK(P126)** Gross number of titles received on invoices not yet sent to bookkeeping. (Returns are not entered into the vendor spreadsheets until the invoice is sent to bookkeeping.)

AH MONTH'S VOLUMES IN PROCESS - **LINK(Q126)** Gross number of volumes received on invoices not yet sent to bookkeeping. (Returns are not entered into the vendor spreadsheets until the invoice is sent to bookkeeping.)

AI YTD TITLES RETURNED **(TITLES_RETD)** - **LINK(R55)** Number of titles returned to date

AJ YTD VOLUMES RETURNED **(VOLS_RETD)** - **LINK(S55)** Number of volumes returned to date

AK YTD TITLES NET **(NET_TITLES)** - Net titles year-to-date. Calculated by subtracting column **AE** from Column **AI.**

AL YTD VOLUMES NET **(NET_VOLS)** - Net volumes year-to-date. Calculated by subtracting column **AF** from Column **AJ.**

AM RETURN RATE - Calculation of return rate for plans. Calculation accomplished by dividing Column **AI** by Column **AC** reported in %.

AN blank

Title/Volume (by catalog location), Invoice and Bindery Report (AO - AR)

The following is a brief description of the cells involved in production of the Title/Volume (by catalog location, invoice count, and bindery report. All figures relate to the report period.

NET T/V COUNT Statistics

MAIN/BRANCH T/V count calculated from spreadsheet by summing columns **AC** (net titles for month) and **AD** (net volumes for month) for all plans except for BLAC plans and Harrassowitz Music

BLAC T/V count calculated from spreadsheet by summing columns **AC** (net titles for month) and **AD** (net volumes for month) for BLAC plans.

PL 480 T/V count of PL 480 materials. Entered manually using figures supplied by LA. (available on spreadsheet in current fiscal year folder)

MECAP T/V count of MECAP materials. Entered manually using figures supplied by LA. (available on spreadsheet in current fiscal year folder)

MONOGRAPHS VIA SERIALS T/V count of monographs received from serials. Entered manually using figures supplied by LA'S. (available on spreadsheet in current fiscal year folder)

TOTAL MONOGRAPHS Sum of above columns. Calculated by spreadsheet.

SCORES Net T/V count from Harrasswitz Music row

SOUND RECORDINGS Entered manually from figures supplied by LAII. (Seldom used.)

INVOICES PROCESSED Statistics

CURRENT BOOKS sum of invoice counts (column **P**) for plans funded by Current Books

DEPARTMENTAL sum of invoice counts (column **P**) for plans funded by departmental funds

COLLECTION sum of invoice counts (column **P**) for plans funded by collection (BLAC) funds

BINDERY PREP Statistics

The bindery statistics are entered manually using figures supplied by LA'S. (available on spreadsheet in current fiscal year folder). The totals are calculated by the spreadsheet.

Center for American History receipts enter manual count supplied by person in section responsible for this duty.

University of Texas at Austin

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
2														FY 96/97
3														ADJUSTED
4		**CURRENT BOOKS**		NUMBER	ALLOCATION	ADJUST1	DATE1	ADJUST2	DATE2	ADJUST3	DATE3	ADJUST4	DATE4	ALLOCATION
5		***APPROVAL PLAN VENDORS***												
6		Aux Amateurs		LD	$1,000.00									$1,000.00
7		Bennett		LD 72529	$1,000.00									$1,000.00
8		BNA - US		CONTRACT	$1,000.00									$1,000.00
9		BNA - UK			$1,000.00									$1,000.00
10		Coutts		LD 72520	$1,000.00									$1,000.00
11		Harrassowitz		LD 72015	$1,000.00									$1,000.00
12		Kamkin		LD 72525	$1,000.00									$1,000.00
13														
14		***SELECTION PLAN VENDORS***												
15		Casalini Libri		LD 72017	$1,000.00									$1,000.00
16		Iberoamericana		LD 72922	$1,000.00									$1,000.00
17		Livraria Portugal		LD 72763	$1,000.00									$1,000.00
18		Touzot		LD 72760	$1,000.00									$1,000.00
19														
20		***BLANKET ORDER VENDORS***												
21		Texas A&M Univ. Press		LD 72476	$1,000.00									$1,000.00
22		Texas Western Press		LD 68498	$1,000.00									$1,000.00
23		Univ. of Texas Press		LD 68497	$1,000.00									$1,000.00
24			***subtotal***		$14,000.00									$14,000.00
25														
26		**DEPARTMENTAL**												
27		***APPROVAL PLAN VENDORS***												
28		WorldWide	*ARCHP	LD 72540	$1,000.00									$1,000.00
29		WorldWide	*ARTP	LD 72516	$1,000.00									$1,000.00
30		Harrassowitz	*MUSP	LD 72014	$1,000.00									$1,000.00
31		BNA-MSI	*MSIP	LD 72584	$1,000.00									$1,000.00
32														
33		***BLANKET ORDER VENDORS***												
34		Yankee Book	*JUVLP	LD 72580	$1,000.00									$1,000.00
35			***subtotal***		$5,000.00									$5,000.00
36														
37		**COLLECTION**												
38		***BLAC BLANKET ORDER VENDORS***												
39		Argueta, Mario R.		LD 72397	$1,000.00									$1,000.00
40		Bach, Susan		LD 72400	$1,000.00									$1,000.00
41		Berenguer, L. Herta		LD 72401	$1,000.00									$1,000.00
42		Books From Mexico		LD 72537	$1,000.00									$1,000.00
43		Cambeiro, Fernando Garcia		LD 72761	$1,000.00									$1,000.00
44		Editorial Inca		LD 72399	$1,000.00									$1,000.00
45		Iturriaga y Cia		LD 72403	$1,000.00									$1,000.00
46		Libreria de Porrua Hmnos		LD 72411	$1,000.00									$1,000.00
47		Libros Centroamericanos		LD 72511	$1,000.00									$1,000.00
48		Libros de Colombia		LD 72402	$1,000.00									$1,000.00
49		Linardi y Risso		LD 72404	$1,000.00									$1,000.00
50		Ser. de Difusion del Libros		LD 72523	$1,000.00									$1,000.00
51			***subtotal***		$12,000.00									$12,000.00
52														
53			**GRAND TOTAL**		$30,000.00									$29,000.00

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*Selection plans do not count INVOICES IN PROGRESS against balance. **Invoices to Bkkg YTD plus gross amount of all outstanding (in process) invoices.

7/30/96

LINK LINK LINK LINK Q+R S/N MONTHLY REPORT ENTER R+U* N-(Q+V) W/N Enter 1 Use previous year, same month 2/4

	O	P	Q	R	S	T	U	V	W	X	Y	Z	AA
2	MONTH'S		YTD	INVOICES	**INVOICES	INVOICES		INVOICES		BALANCE	AMOUNT	INVOICE	INVOICES
3	INVOICES	INVOICE	INVOICES	IN	YTD plus	AS % OF	ENCUM-	IN PROCESS	FY 96/97	AS % OF	ALLOCATED	TOTAL	AS % OF
4	TO BKKG	COUNT	TO BKKG	PROCESS	INV In-Proc.	ALLOCATION	BRANCES	& ENCUMB.	BALANCE*	ALLOCATION	(7/31/1996)	YTD	ALLOCATION
5								TOTAL AMOUNT OUTSTANDING					
6	$90.00	1	$90.00	$0.00	$90.00	9%		$0.00	$910.00	91%	$0		0%
7	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$4,200		0%
8	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$437,000		0%
9	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$102,700		0%
10	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$7,400		0%
11	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$44,500		0%
12	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$19,018		0%
13													0%
14								except					0%
15	$0.00	0	$0.00	$0.00	$0.00	0%		=U $0.00	$1,000.00	100%	$24,308		0%
16	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$23,819		0%
17	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$2,367		0%
18	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$28,414		0%
19													0%
20								Selection Plans					0%
21	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$1,200		0%
22	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$190		0%
23	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$3,200		0%
24	$90.00	$1.00	$90.00	$0.00	$90.00	$0.09	$0.00	$0.00	$13,910.00	$13.91	$698,316.00	$0.00	0%
25													
26													
27													
28	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$2,700		0%
29	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$12,000		0%
30	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$12,253		0%
31	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$5,000		0%
32													
33													
34	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$2,500		0%
35	$0.00	0	$0.00	$0.00	$0.00	0%	$0.00	$0.00	$5,000.00	100%	$34,453	$0	0%
36													
37													
38													
39	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$1,000		0%
40	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$25,000		0%
41	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$9,500		0%
42	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$17,000		0%
43	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$15,000		0%
44	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$13,500		0%
45	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$6,500		0%
46	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$4,000		0%
47	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$7,000		0%
48	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$7,500		0%
49	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$8,200		0%
50	$0.00	0	$0.00	$0.00	$0.00	0%		$0.00	$1,000.00	100%	$2,000		0%
51	$0.00	0	$0.00	$0.00	$0.00	0%	$0.00	$0.00	$12,000.00	100%	$116,200	$0	0%
52													
53	$0.00	0	$0.00	$0.00	$0.00	0%	$0.00	$0.00	$29,000.00	100%	$829,951.00	$0.00	0%

*Selection plans do not count INVOICES IN PROGRESS against balance. **Invoices to Bkkg YTD plus gross amount of all outstanding (in process) invoices.

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7/30/96

LINK LINK LINK LINK LINK MONTHLY REPORT LINK LINK LINK AE-AI AF-AJ AI/AC

	AB	AC	AD	AE	AF	AG	AH	AI	AJ	AK	AL	AM
2		MONTH'S	MONTH'S	YTD	YTD	MONTH'S	MONTH'S	YTD	YTD	YTD	YTD	INVOICES
3		NET TITLES	NET VOLS	GR. TITLES	GR. VOLUMES	TITLES	VOLUMES	TITLES	VOLUMES	TITLES	VOLUMES	RETURN
4		REC'D	REC'D	REC'D	REC'D	IN PROCESS	IN PROCESS	RETURNED	RETURNED	NET	NET	RATE
5												
6		4	6	5	7	0	0	1	1	4	6	20%
7		0	0	0	0	0	0	0	0	0	0	0%
8		0	0	0	0	0	0	0	0	0	0	0%
9		0	0	0	0	0	0	0	0	0	0	0%
10		0	0	0	0	0	0	0	0	0	0	0%
11		0	0	0	0	0	0	0	0	0	0	0%
12		0	0	0	0	0	0	0	0	0	0	0%
13												
14												
15		0	0	0	0	0	0	0	0	0	0	0%
16		0	0	0	0	0	0	0	0	0	0	0%
17		0	0	0	0	0	0	0	0	0	0	0%
18		0	0	0	0	0	0	0	0	0	0	0%
19												
20												
21		0	0	0	0	0	0	0	0	0	0	0%
22		0	0	0	0	0	0	0	0	0	0	0%
23		0	0	0	0	0	0	0	0	0	0	0%
24		4	6	5	7	0	0	1	1	4	6	20%
25												
26												
27												
28		0	0	0	0	0	0	0	0	0	0	0%
29		0	0	0	0	0	0	0	0	0	0	0%
30		0	0	0	0	0	0	0	0	0	0	0%
31		0	0	0	0	0	0	0	0	0	0	0%
32												
33												
34		0	0	0	0	0	0	0	0	0	0	0%
35		0	0	0	0	0	0	0	0	0	0	0%
36												
37												
38												
39		0	0	0	0	0	0	0	0	0	0	0%
40		0	0	0	0	0	0	0	0	0	0	0%
41		0	0	0	0	0	0	0	0	0	0	0%
42		0	0	0	0	0	0	0	0	0	0	0%
43		0	0	0	0	0	0	0	0	0	0	0%
44		0	0	0	0	0	0	0	0	0	0	0%
45		0	0	0	0	0	0	0	0	0	0	0%
46		0	0	0	0	0	0	0	0	0	0	0%
47		0	0	0	0	0	0	0	0	0	0	0%
48		0	0	0	0	0	0	0	0	0	0	0%
49		0	0	0	0	0	0	0	0	0	0	0%
50		0	0	0	0	0	0	0	0	0	0	0%
51		0	0	0	0	0	0	0	0	0	0	0%
52												
53		0	0	0	0	0	0	0	0	0	0	0%

*Selection plans do not count INVOICES IN PROGRESS against balance. **Invoices to Bkkg YTD plus gross amount of all outstanding (in process) invoices.

	AN	AO	AP	AQ	AR
2					
3					
4		NET T/V COUNT FOR MONTH (IN PROCESS NOT INCLUDED)			
5		MAIN / BRANCH		4	6
6		BLAC			
7		PL 480		X	X
8		MECAP		X	X
9		MONOGRAPHS VIA SERIALS		X	X
10		TOTAL MONOGRAPHS		4	6
11					
12		SCORES			
13		SOUND RECORDINGS		X	X
14					
15		*INVOICES PROCESSED*			
16		CURRENT BOOKS		1	
17		DEPARTMENTAL			
18		COLLECTION			
19					
20		*BINDERY PREP*			
21			BLAC	NON-BLAC	TOTAL
22		PAMPHLET	X	X	
23		CONTRACT	X	X	
24					
25		TOTAL			
26					
27					
28					
29					
30					
31					
32					
33					
34					
35					
36					
37					
38					
39					
40					
41					
42					
43					
44					
45					
46					
47					
48					
49					
50					
51					
52					
53					

From spreadsheet

x enter

65

70

71

*Selection plans do not count INVOICES IN PROGRESS against balance. **Invoices to Bkkg YTD plus gross amount of all outstanding (in process) invoices.

	N	O	P	Q	R	S	T	U	V	W	X
1	TO CALCULATE INVOICES TO BOOKKEEPING IN A GIVEN MONTH, change DATES on "VENDOR MACRO" - cells A3 and A5 - AND RUN VENDOR MACRO(OPTION/COMMAND/V)										
2	INV NUMBER	INV DATE	TITLES RECD	VOLS RECD	TITLES RETD	VOLS RETD	TITLES NET	VOLS NET	NET AMT	INV TO BKKG	INV TO BKKG
3										>=3/1/95	<=3/31/95
4											
5											
6	INV NUMBER	INV DATE	TITLES RECD	VOLS RECD	GROSS AMT	INV TO BKKG					
7					>0	1/1/04					
8											
9											
10	EXTRACT RANGE (ROW 11 THROUGH 50) MONTHLY TOTALS INVOICES TO BKKG DISPLAYED AT R52; YTD AT R55										
11	INV NUMBER	INV DATE	TITLES RECD	VOLS RECD	TITLES RETD	VOLS RETD	TITLES NET	VOLS NET	NET AMT	INV TO BKKG	BALANCE
12											
13											
48											
49											
50											
51	INVOICES PROCESSED		TITLES RECD	VOLS RECD	TITLES RETD	VOLS RETD	TITLES NET	VOLS NET	NET AMT		
52	MONTHLY	TOTALS	0	0	0	0	0	0	$0.00	THIS MONTH	
53	INV COUNT	0									
54											
55	YEAR TO DATE TOTALS		0	0	0	0	0	0	$0.00	YTD NET AMOUNT	
56											
57	EXTRACT RANGE (ROW 58 THROUGH 124) IN PROCESS TOTALS DISPLAYED AT R125										
58	INV NUMBER	INV DATE	TITLES RECD	VOLS RECD	GROSS AMT	INV TO BKKG	BALANCE				
59											
121											
122											
123											
124											
125	IN PROGRESS		TITLES RECD	VOLS RECD	GROSS AMT						
126	SUMMARY		0	0	$0.00						
127											
128	INVOICE IN PROGRESS COUNT		0								
129											
130											
131											

NEW VENDOR SPREADSHEET

	A	B	C	D	E	F	G	H	I	J	K	L	M
1	**ALLOCATION**	$0.00	Enter fund adjustment, date, and note in blank spaces in column M.							**ADJUSTED ALLOCATION**		$0.00	**ADJUSTMENTS**
2			**REC'D**	**REC'D**	**INVOICE**	**RET'D**	**RET'D**	**NET**	**NET**	**INVOICE**			DATE1
3	**INV NUMBER**	**INV DATE**	**TITLES F**	**VOLS RE**	**GROSS AMT**	**TITLES F**	**VOLS R**	**TITLES I**	**VOLS NI**	**NET AMT**	**INV TO BKKG**	**BALANCE**	
4								0	0	$0.00	1/1/04	$0.00	ADJUST1
5								0	0	$0.00	1/1/04	$0.00	
6								0	0	$0.00	1/1/04	$0.00	NOTE1
7								0	0	$0.00	1/1/04	$0.00	
8								0	0	$0.00	1/1/04	$0.00	DATE2
9								0	0	$0.00	1/1/04	$0.00	
10								0	0	$0.00	1/1/04	$0.00	ADJUST2
11								0	0	$0.00	1/1/04	$0.00	
12								0	0	$0.00	1/1/04	$0.00	NOTE2
13								0	0	$0.00	1/1/04	$0.00	
14								0	0	$0.00	1/1/04	$0.00	DATE3
15								0	0	$0.00	1/1/04	$0.00	
16								0	0	$0.00	1/1/04	$0.00	ADJUST3
17								0	0	$0.00	1/1/04	$0.00	
18								0	0	$0.00	1/1/04	$0.00	NOTE3
19								0	0	$0.00	1/1/04	$0.00	
20								0	0	$0.00	1/1/04	$0.00	DATE4
21								0	0	$0.00	1/1/04	$0.00	
22								0	0	$0.00	1/1/04	$0.00	ADJUST4
23								0	0	$0.00	1/1/04	$0.00	
24								0	0	$0.00	1/1/04	$0.00	NOTE4
25								0	0	$0.00	1/1/04	$0.00	
26								0	0	$0.00	1/1/04	$0.00	
27								0	0	$0.00	1/1/04	$0.00	
103								0	0	$0.00	1/1/04	$0.00	
104								0	0	$0.00	1/1/04	$0.00	
105													
106			0	0	**$0.00**	0	0	0	0	**$0.00**			
107			TITLES	VOLS	GROSS INV	TITLES	VOLS	TITLES	VOLS	YEAR TO DATE NET INVOICE TOTAL PLUS OUTSTANDING INVOI			
108			RECD	RECD	TOTAL	RETD	RETD	NET	NET				
109													

The

COLLECTION

DEVELOPMENT

DEPARTMENT

at the University of Toronto Library

76

The Collection Development Department

The Book Selection Department, as the Collection Development Department was called until early this year, was established in name late in 1965, but it did not assume its present role until July 1966. The year 1966/7 was largely a period of organization, during which existing staff took on new responsibilities, new staff were recruited, and the Dealer Selection Order system (described in the following pages) was established. The number of active Dealer Selection Orders rose from one in July 1966 to thirty-four in June 1967. Since then, their number has grown to forty-four, as the Department has tried to expand systematic acquisitions policies to more challenging areas outside Europe and North America.

The establishment of the Department was the Library's response to an unprecedented expansion in graduate programmes at the University of Toronto, many of them in non-traditional fields, during the 1960s. It was clear that the old Acquisitions Department--which was geared mainly to processing individual faculty requests unsystematically on a first-come, first-served basis for as long as the year's book budget lasted--could not meet the more complex collection needs of an expanded university, and was wasteful and inefficient. It was felt that the University's new and expanded needs would best be met by a nucleus of specialised selectors, who would be responsible for collection development in their designated areas. At the same time, the business aspects of acquisitions--ordering, receiving, paying invoices and book-keeping--would be assigned to the newly-established Order Department.

While selection both within and outside the framework of the DSO system is the most obvious of the Department's activities, its less obvious activities are no less important. Almost all questions and problems concerned with acquisitions which are not simply matters of book-keeping or record-keeping are channelled through Collection Development for decision or clarification. Decision-making may, for example, involve the acceptance or non-acceptance of a collection as a gift, the replacement or not of a missing book, or the cancellation or renewal of a journal subscription whose price has risen unusually steeply. Problem-solving may involve the determination of why a particular duplication has occurred, or why a wrong book has been supplied.

The continuing assessment of the Library's collections is an important part of the work of the Department. Each year a portion of the University's graduate programmes come under review, and the appropriate selectors must present a statement of the Library's ability to support those graduate programmes, and meet with the assessors to answer their library-related queries. The selectors also assemble bibliographic and bibliometric information for the various national and North American shelf list counts and collection inventory programmes.

The selectors are also responsible for the painstaking and demanding work of retrospective collection development. Knowledge of the antiquarian book trade and ingenuity in maintaining and spending funds is an essential part of this work, while the Library benefits from the selectors' skill in obtaining grants in support of specialized collections offered by the Social Sciences and Humanities Research Council of Canada. This subject expertise also allows the selectors to organize or contribute to exhibitions in Robarts Library and in the Thomas Fisher Rare Book Library, an important source of publicity for the Library and the University.

All of the Collection Development Department's staff deal regularly with a varied clientele of Library colleagues, faculty, students, members of the public, donors potential and actual, booksellers, publishers' representatives, visiting scholars, librarians from all over the world, and the like. They show visitors around the library, explain acquisitions practices, policies and procedures to users, and provide a type of specialized reference service to other library departments and to the departmental libraries. The combined experience of its selectors and assistants allows the Collection Development Department to make an essential contribution to the Library's aim of service.

The staffing of the Department has proved to be remarkably stable over the past twenty-five years. The reasons for this stability are many and individual, but one common thread must surely be a high level of job satisfaction. No two staff members would give the same reasons for that level of satisfaction, but most would mention as a factor the freedom to use their judgement in a constantly changing, unpredictable publishing and bookselling environment, and to see the results of that judgement take substance in the collections of the finest library in Canada.

The Dealer Selection Order System

General description.

For the past 25 years, the Library's main source of currently published works has been its various dealer selection orders, the purpose of which is to ensure as comprehensive a coverage of the world's important new publications as possible while at the same time reducing ordering and bookkeeping procedures to a minimum in an area which lends itself fairly well to this sort of procedural simplification. We now have 46 of these orders covering 38 individual countries, Latin America, Africa and most Arabic-speaking countries. Some of these are special orders for music scores and atlases.

Dealers are authorized to select and send important new publications first produced in their respective countries which, in their treatment and subject interest, are felt to be of university research quality. They are provided with lists of the subjects which comprise our interests and are instructed not to exceed the sums which we allocate to each order without our written authorization. The Library reserves the right to return any book which it deems to fall outside the provisions of its order.

The majority of the countries covered by our dealer selection orders produce weekly or monthly national or trade bibliographies which dealers are asked to use as their basic guides for selection. They are instructed to review them, mark the selections which they make (or have already made from other sources, such as publishers' announcements) and send them (by airmail) to the Book Selection Department. These bibliographies are then examined by book selectors (and eventually by the Head of the Department or his Assistant) who not only make additional selections but are also able to measure a dealer's performance against the total (or nearly total) output of the country covered and to question his failure to select certain items which, we feel, should have been selected.

Some additional selections are always necessary. At the very least, dealers cannot select works in monographic series since they have no way of knowing which monographic series we receive on subscription through the Serials Department and they cannot select unrevised or only slightly revised editions of previously published works because they have no way of knowing whether we have earlier editions. Apart from this, there are always borderline cases which dealers prefer to leave to our judgement. Over and above this, however, our additional selections enable us to counterbalance individual dealer's deficiencies and ensure an overall consistency. Some dealers are generally cautious in all fields. Others are cautious in some fields but not in others. The fact that there is a wide variation is shown by the fact that our additional selection amounts to as much as 60% in some cases, and to as little as 10% in others. The average is about 40%.

For some areas (Africa and Latin America, for example) no suitable bibliographies exist. In these cases, we are inevitably forced to place more reliance on our dealer's judgement.

Basic principles underlying acquisition of current books by the DSO system

1. That books are at their least expensive, both in terms of current dollar values and in absolute terms, when they are first published.

2. That it is only feasible to collect comprehensively in any field when books are first published, since this is the only time when the full range of what is published is readily available.

3. That this form of acquisition lends itself to procedural simplifications which result in very significant savings in time and money. The cost per title of acquiring books by the DSO method is less than that of acquiring them in the more conventional way.

Main Exclusions

A. **Categories of material**

1. General expositions and popularizations which one can assume to be well covered in more academic works.

2. Textbooks, either all textbooks or those below specified levels. Our instructions vary slightly from subject to subject and from country to country.

3. Most children's books.

4. Most translations into languages other than English.

5. In the Humanities and Social Sciences, new editions which have not been substantially revised and/or do not contain significant additions to the original work.

This exclusion does not apply to the Physical and Life Sciences, where all new editions irrespective of the degree of revision are to be supplied.

B. **Subjects**

1. Works in the field of education below university level which are not also of obvious importance to other disciplines. We regard this area as the responsibility of the libraries of the Faculty of Education and the Ontario Institute for Studies in Education.

2. Works on the science and practice of law which are not also of obvious importance to other disciplines. We regard this as the responsibility of the Law Library.

3. Works dealing with agriculture which are not of interest to economists or historians. We regard "agriculture for agriculturalists" as Guelph's responsibility.

Statistics

Between 700,000 and 850,000 titles are published throughout the world every year. The DSO system normally provides us with between 60,000 and 70,000.

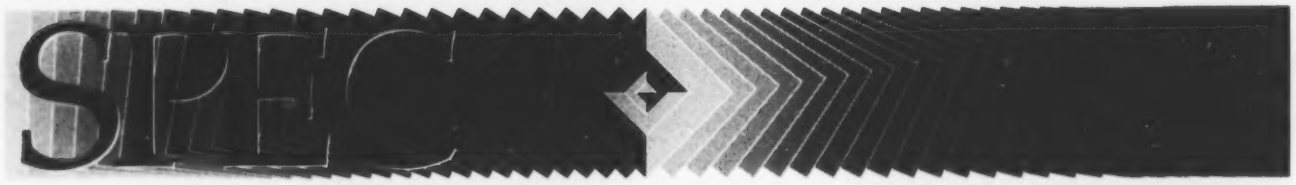
Effectiveness of the DSO system

Before the DSO system was established, the Library received an estimated 120,000 purchase requests from teaching departments every year, a workload which an acquisitions department larger than the present Collection Development Area was quite unable to handle. We now receive a few hundred such requests, most of them for titles which are already here or expected.

In July 1966, when the administration of the Order Department was transferred from Technical Services to the Book Selection Area, there was a backlog of 50,000 unprocessed books, mainly in unopened parcels. The Department received a stream of letters and telephone calls threatening legal action for non-payment of bills, sometimes several a day. We now have no processing backlog and a reputation for prompt payment. (Regrettably no longer true!)

Whenever the effectiveness of the DSO system as a means of acquiring new books has been tested, the results have been quite striking. Bibliographical checks of varying extent in a number of subject fields have shown that, since 1966, the Library has tended to acquire between 75% and 95% of desirable currently published titles, as opposed to between 35% and 60% before 1966. Since our purchasing power has been declining since 1969, this cannot simply be attributed to an increase in our resources but clearly reflects a more effective use of those resources.

Michael Rosenstock
Head, Collection Development Department



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SELECTED READINGS

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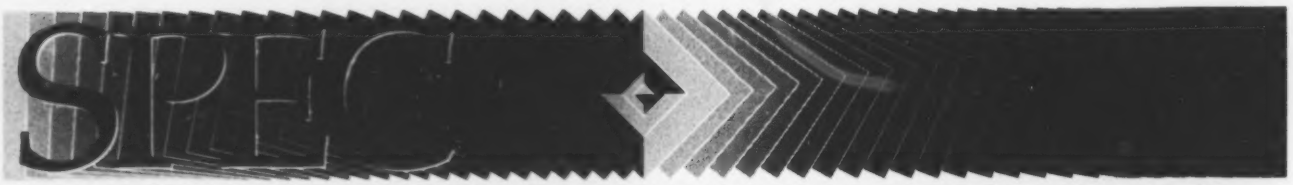

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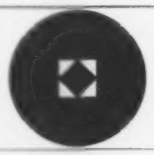
ASSOCIATION OF RESEARCH LIBRARIES  OFFICE OF MANAGEMENT SERVICES

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